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ABSTRACT

The second of two volumes, this prototype home-based study course for library/media/information personnel is designed to provide a better understanding of the complexity of human behavior and the motivational climate in an organization, and to enable course participants to contribute to the effective development of human resources in the library or information center. Five modules comprise the course: (1) motivation in the organizational setting, (2) individual needs--organizational responses, (3) integrating individual and organizational goals, (4) the manager's role in motivation--leadership styles, and (5) creating a motivational climate in the organization. Each module contains an overall discussion of sub-topics, an annotated bibliography of print and nonprint materials for further study, tests on required readings, and self-tests and exercises. Guidelines for successful participation in home study courses are presented for course authors, reviewers, students, study groups, and faculty evaluators. Procedural guidelines for the handling of administrative details of home study programs are also presented. (SW)

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MODEL CONTINUING EDUCATION RECOGNITION SYSTEM IN LIBRARY AND INFORMATION SCIENCE INCLUDING PROVISION FOR NON-TRADITIONAL STUDIES AND DEVELOPMENT OF A PROTOTYPE FOR HOME STUDY PROGRAMS

VOLUME II: PART 1

Motivation: A Vital Force in the Organization

Prepared by:

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IR009010

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Motivation: A Vital Force in the Organization

A HOME-BASED STUDY COURSE FOR LIBRARY/MEDIA/INFORMATION PERSONNEL

Prepared by:

Fred M. Peterson, Ph.D., Principal Developer
Mary C. Chobot, M.S.L.S., Research Associate
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GUIDE TO THE COURSE

Motivation: A Vital Force in the Organization

A HOME-BASED STUDY COURSE FOR LIBRARY/MEDIA/INFORMATION PERSONNEL

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I. RATIONALE FOR THE COURSE

Your library, information center, organization, or work unit, is composed of a group of individuals whose efforts are directed toward a common goal or series of goals. The extent to which these organizational goals are achieved depends on many factors, not the least of which are the attitudes and actions of this group of individuals.

This course is concerned with the behavior of individuals in an organization, and the interrelationships of individuals and groups within an organization. Whether you accept the time-worn cliché, "People make the difference in an organization", or not, this course is designed to give your judgement some justification. Naturally, we think the evidence tends to substantiate the importance of the individual.

Human behavior centers around human motivation. Either consciously or subconsciously, people "do things" or "don't do things", "do things well" or "do things not-so-well", for a reason. In any organization, what they do and do not do has a direct effect upon the success of the organization. As managers or supervisors, you can accept their behavior as inherent–good or bad–or you can assume a responsibility, when necessary, for improving it or modifying it; allowing them to improve it or modify it; or, at least, for trying to understand it. Moreover, you will also, hopefully, spend a good deal of time reflecting upon your *own* organizational behavior, and how it affects others.

Among the questions which we will deal with–all of which are vitally important to you–are the following:

- Why do people work?
- What needs do individuals attempt to fulfill in their jobs?
- What expectations do individuals have from the organizations which they join?
- Are these needs and expectations compatible with those of the organization?
- Can they be reconciled?
- How can I, as a manager or supervisor, assist my subordinates in realizing their needs and expectations?
- What kind of manager or supervisor am I?

This is just a beginning: you will find yourself adding many more questions to those above as you study and reflect upon the ideas which will be presented in this course. The course cannot give you *definitive* answers to any of these questions, but will encourage you to seek answers to them, and to apply existing evidence and research toward answering them.

II. COURSE OBJECTIVES

The overall objective of this course is to provide you with a better understanding of the complexity of human behavior and the motivational climate in your organization, and therefore, to enable you to contribute to the effective development of the human resources in your library or information center. Upon completion of this course, you should be able to:

- recognize the complexity of your—or any—organization which influences and is influenced by the environment in which it exists
- identify how individual and group behavior contribute to this complexity
- identify the needs that individuals seek to satisfy in any organization
- implement programs, policies, and strategies which will allow individuals to satisfy these needs within your organization
- recognize the necessity for making the goals of the individual compatible with those of the organzation
- develop strategies for reconciling the goals of individual staff members with those of your organization
- assess your own leadership style and its impact upon subordinates and other members of your organization
- capitalize on your managerial strengths, and minimize your identified weaknesses, to improve your effectiveness as a manager and leader
- assess the motivational climate in your organization
- create a better motivational climate in your organization
- identify your role and responsibility as a manager or supervisor in the development of your staff
- explain such management concepts as Management by Objectives (MBO); Participative Management; and Organizational Development (OD) and assess their applicability to your organization.

III. COURSE CONTENTS

MODULE I: MOTIVATION IN THE ORGANIZATIONAL SETTING

The basic elements, or subsystems, which define an organization are discussed, and the complexity of organizations is stressed. Motivation and the individual is treated and a major theory regarding human needs is introduced. A discussion is also begun regarding the manager's role in the motivation process; this topic will be developed and enlarged in each of the succeeding modules.

MODULE II: INDIVIDUAL NEEDS: ORGANIZATIONAL RESPONSES

In Module II, the needs of the individual, as well as the organization's responses to these needs, are treated in depth. The landmark studies of three prominent management scholars; Frederick Herzberg, David McClelland and Douglas McGregor, and their implications for practicing managers or supervisors are explored.

MODULE III: INTEGRATING INDIVIDUAL AND ORGANIZATIONAL GOALS

The potential conflict between the goals of the individual and those of the organization is discussed. The views of Chris Argyris on this problem are presented. Various possible approaches to reconciling this conflict such as Participative Management, Management by Objectives (MBO) and Job Enrichment are discussed.

MODULE IV: THE MANAGER'S ROLE IN MOTIVATION: LEADERSHIP STYLES

Significant contributions from the research on leadership are discussed in Module IV, and an attempt is made to help you assess your leadership style, and to better understand how it affects, both positively and negatively, the people with whom you work. Some instruments which have been developed to help you better understand your own leadership role and style as presented.

MODULE V; CREATING A MOTIVATIONAL CLIMATE IN THE ORGANIZATION

The impact of leadership on organizational climate will be presented, and you will be given the opportunity to assess the climate of your own organization. The concept of Organization Development (OD) is introduced, and various means of staff development are discussed in relation to improving the motivational climate in an organization. Various concrete approaches to more full utilizing the existing human resources in your work situation are summarized, as well as approaches to further developing the skills and expertise of your present staff—as well as your own.

IV. FORMAT AND PROCEDURES FOR TAKING THE COURSE

CONTENT OF EACH MODULE

This course will consist of five modules, which will be sent to you in monthly installments. Each module will contain the following components:

- **The Narrative Text (White Pages)**

The Narrative Text develops the major topics and analyzes the key points to be considered and studied. It also guides you sequentially to the Readings, Self Tests, and Exercises at the most appropriate times. Therefore, begin your studies on page 1 of the Narrative Text in each module, and at appropriate places, you will find instructions, enclosed in boxes, such as the following:

BEFORE PROCEEDING WITH THE FOLLOWING TOPIC, WE SUGGEST THAT YOU STUDY THE FOLLOWING READINGS:

SELF TEST I-1

At this point, remove Exercise I-1 from the separate packet of Exercises and Self Tests and work through it.

- **Self Tests (Green Pages)**

Each module includes one or more Self Tests at the end of the Narrative Text. You are directed to these Self Tests at appropriate times as you progress through the Narrative Text. These are designed to help you understand the ideas and concepts being presented. The authors' analysis of each Self Test is presented in the Narrative Text at the most appropriate time.

- **Exercises (Yellow Pages)**

Each module includes one or more Exercises at the end of the Narrative Text. You are directed to these Exercises at appropriate times as you progress through the module. These are designed to test your comprehension of the ideas and concepts being presented. When you have completed each Exercise to your satisfaction, you should send it to the following address for review by your Faculty Evaluator:

Motivation: A Vital Force in the Organization
CLENE Home Study Project
P.O. Box 1228
620 Michigan Avenue, N.E.
Washington, D.C. 20064

If a module contains more than one Exercise, you may send each one separately upon completion, or wait and send all the Exercises at one time upon completing the module. Be sure to put your *name* on each of the sheets of each Exercise. These Exercises will be critiqued by your Faculty Evaluator and returned to you. If your Exercise has been appraised as "Unsatisfactory", you may resubmit it after attempting to make the adjustments your Faculty Evaluator has suggested so that you may obtain an appraisal of "Satisfactory."

Since items are sometimes lost in the mail, be sure to make a copy of each Exercise for your records before sending it.

- **The Readings**

Each module will be accompanied by several carefully selected readings which should contribute to your learning and comprehension of the subject. They are arranged in a logical sequence as they relate to the concepts and ideas being presented in the Narrative Text. You are directed to each of these readings at an appropriate time as you progress through the module. Study each reading thoughtfully, and try to relate the ideas and concepts presented to your own work experiences. Although much of the management literature has a business orientation, the concepts and concerns have applicability to any type of organization including libraries and information centers. The Narrative Text should assist you in making this mental transition.

- **Selected Materials For Further Study**

At the end of the Narrative Text in each module is a section entitled **Selected Materials for Further Study.** The authors have tried to select additional readings as well as other media which will enrich your understanding of the topics covered in the respective modules. It is hoped that your interest in many of the topics covered will be strong enough to make you want to investigate them further.

- **Evaluation of the Module (White Page)**

You will find an evaluation form at the end of each module. After completing the module, please take a few minutes to fill out this form, offering your comments on any strengths and weaknesses based upon your study.

V. FINAL EXAMINATION

Upon completion of the course, you will receive a final examination. In order to receive Continuing Education Units (5 CEU) for the course, you must complete the examination with a grade of "Pass" from your Faculty Evaluator. If you do not receive a grade of "Pass", you may retake the examination once so that you may try to change your grade to "Pass".

VI. FACULTY EVALUATOR

You will be assigned a Faculty Evaluator with expertise in management and motivation. He or she will review your understanding of the subject based upon your completed exercises, which will be returned to you with his or her comments. If you have particular difficulty with a concept, feel free to direct such inquiries to your Faculty Evaluator when returning an exercise. The same Faculty Evaluator will be assigned to you throughout the course.

VII. PERSONAL PROFILE

Before beginning this course, please complete the Profile on the last page, and mail it to the address on page 4 of this guide.

VIII. BACKGROUND READINGS

Listed below are some titles which will be helpful in providing background reading for those who have not had the opportunity to delve into the literature of management previously, or for those who wish to reacquaint themselves with some basic management concepts and practices:

Drucker, Peter F.
Management: Tasks, Responsibilities, Practices. New York: Harper & Row, 1974.

Peter Drucker is one of the most prolific and respected writers in this field. This is the most recent of a number of monographs he has published and is a lengthy compendium of information (839 pages) which you probably will not have time to read from cover-to-cover. However, because it has a very good index, it is a good source of further information on a particular topic. You will find the material presented in Part Two: "The Manager: Work, Jobs, Skills, and Organization" (pp. 377-602) most pertinent to the topics we will cover in this course.

Evans, S. Edward.
Management Techniques for Librarians. New York: Academic Press, 1976.

Since this book is directed to librarians, it should prove especially readable and helpful to you. Chapter 2 gives a very brief overview of the history of management, which would be a good starting point for those who would like some background in this area. Some of the other topics covered are: the various schools of management thought, creativity and the library, decision-making, planning, delegation, communication, motivation, personnel, finance, and work analysis. Bibliographies are included at the end of each chapter to direct you to further readings on each topic.

Gibson, James L., John M. Ivancevich, and James H. Donnelly, Jr.
Organizations: Behavior, Structure, Processes. Revised edition. Dallas: Business Publications, Inc., 1976.

This text is divided into seven main sections, several of which relate to the topics covered in this course, and several which you may find helpful in providing background material. Part I deals with the study of organizations and how one can acquire knowledge about management and organizational behavior; Part II discusses organizational effectiveness and the nature of management; Part III focuses on behavior, motivation, and leadership; Part IV explores the structure of organizations; Part V treats the communication and decision-making processes within organizations, Part VI concerns itself with developing organizational effectiveness, and Part VII attempts to apply the concepts previously discussed in two real organizational settings. This book also contains a helpful glossary of terms (pp. 473-483) and name and subject indexes.

Gibson, James L., John M. Ivancevich, and James H. Donnelly, Jr.
Readings in Organizations: Behavior Structure, Processes. Revised edition. Dallas: Business Publications, Inc., 1976.

Although there are many books of readings on management which you might find useful, we have included this one because it complements the text mentioned above, has been recently revised, and includes several classic articles which you might find helpful in providing background information.

Gulick, Luther and Lyndall Urwick, editors.
Papers on the Science of Administration. New York: Institute of Public Administration, Columbia University, 1937. Reprinted New York: Augustus M. Kelley, 1969.

Those who prefer to go back to the original sources, will find this collection of essays by pioneers in the field of administration or management, very enlightening. Some of the eleven classic essays reprinted in this volume include: "Notes on the Theory of Organization", by Luther Gulick; "The Administrative Theory in the State", by Henri Fayol; "The Function of Administration", by Lyndall Urwick; and "The Process of Control", by Mary Parker Follett.

Hersey, Paul and Kenneth H. Blanchard.
Management of Organizational Behavior: Utilizing Human Resources. 2nd edition. Englewood Cliffs, New Jersey: Prentice-Hall, 1972.

This very readable book focuses on human behavior in the organizational setting. Chapter 1, "Management: A Behavioral Approach", has been reprinted as your second reading for Module I. Several other chapters deal with topics with which this course is concerned: motivation and behavior; the motivating environment; leader behavior and effectiveness; diagnosing the environment; and managing for organizational effectiveness. A selected bibliography and index are included.

Kast, Fremont E. and James E. Rosenzweig.
Organization and Management: A Systems Approach. 2nd edition; New York: McGraw-Hill, 1974.

Your first reading for Module I has been reprinted from this respected text about organizations and their management. The authors discuss the managerial role in the context of the complex and dynamic society in which organizations function. The book is not organized by managerial functions, as are many basic texts on management, but by the subsystems which define an organization. An excellent bibliography, as well as subject and name indexes are appended.

Mackenzie, R. Alec.
"The Management Process in 3-D: A Diagram Showing the Activities, Functions, and Basic Elements of the Executive's Job," *Harvard Business Review,* 42: 86-87, November-December 1969.

In this article the author presents a three dimensional diagram designed to show the various aspects of management and their relationship to the three basic elements a manager deals with: ideas, people, and things. The chart is so arranged that items can be seen not only in isolation, but also in relation to each other. The author's thorough analysis helps the reader toward his own synthesis of the complex functions covered by the single term *management.* It might also prove helpful in introducing you to the terminology of management.

Massie, Joseph L.
Essentials of Management. Englewood Cliffs, New Jersey: Prentice-Hall, 1971.

This book is a concise, organized summary of the basic concepts of management, and thus serves as a good introduction to the subject. Chapter 2, "The Development of Management Thought", (pp. 12-24) provides a brief overview for those who would like to know more about the development of management thought. The chart on pages 20-21, "Pioneers in Management and their Contributions", which lists several persons who have made major contributions to the development of management, should prove especially helpful. The authors also emphasize the interdisciplinary nature of management and important recent advances that have been made in economics, accounting, sociology, social psychology, statistics and mathematics that are of importance to the manager. Indexed.

Newport, M. Gene.
The Tools of Managing: Functions, Techniques and Skills. Menlo Park, California: Addison-Wesley, 1972.

This basic text is a readable and easily understood survey which presents fundamental management concepts. Since the book is organized according to the basic tasks or functions that most managers must perform, it is a good starting point for the student of management who wishes to more fully understand the managerial role.

CLENE HOME STUDY PROJECT
PERSONAL PROFILE

1. Name ______________________ 2. Sex: ☐ Male; ☐ Female; 3. Social Security No.* ____________
4. AGE: ☐ 20-24; ☐ 25-29; ☐ 30-34; ☐ 35-39; ☐ 40-44; ☐ 45-49; ☐ 50-54; ☐ 55-59; ☐ 60-64; ☐ 65 +
5. Where do you live?
☐ Large city (over 2,000,000); ☐ Medium-sized city (50,000-2,000,000);
☐ Small city (10,000-50,000); ☐ Rural area or small town (under 10,000)
6. Home Address: ______________________ 7. Home Phone: ____________

ABOUT YOUR WORK EXPERIENCE:

8. Title of your Present Position ______________________ 9. Chief Duties: ____________
____
10. If you have management responsibilities, would you characterize them as: ☐ upper level management; ☐ middle management; or ☐ first line supervision? 11. How many do you supervise?
12. Name of employing institution: ______________________
13. Address: ______________________ 14. Your Phone No. ____________
15. If it is necessary for you to contact me, I prefer you call: ☐ Home phone; ☐ Business Phone
16. How many people are employed in your institution? ______ 17. Of these, how many are supportive staff? ______
17. Other job experience in libraries, media and/or information centers:

	Position	Employer/Institution	From-To
A.			
B.			
C.			

18. Does your immediate supervisor know you are taking this course? ☐ Yes; ☐ No; ☐ Don't know
19. Do you believe your employer will give you any kind of favorable recognition for taking this course? ☐ Yes; ☐ No; ☐ Don't know.
20. Please list professional associations of which you are a member: ______________________
21. Please give any other information about yourself in relation to your job or other situations that you feel might be of interest or help to your Faculty Evaluator. [Use additional sheet if you wish] ______________________
____

ABOUT YOUR EDUCATION

22. Did you graduate from high school? ☐ Yes; ________ (year); ☐ No; ________ Highest grade completed
23. College and University Education:

Name of Institution & Location	Dates Attended	Yrs. Completed	Type of Degree	Degree Date

24. Chief undergraduate college subjects: ______________________
25. Chief graduate university subjects: ______________________
26. Major field of study at highest level of college/university work: ______________________
27. Have you had formal courses in management, and if so, how many and at what level?

YES	NO	Type of Management Program	No. of Courses	Undergraduate	Graduate	Post MLS
☐	☐	Public Administration		☐	☐	☐
☐	☐	Library and/or Information Center Management		☐	☐	☐
☐	☐	Business Administration		☐	☐	☐
☐	☐	Organization Theory		☐	☐	☐
☐	☐	Other:		☐	☐	☐

*Social Security No. is necessary if you wish to receive CEU.

28. If you have participated in continuing education programs, workshops, institutes, home study programs, etc. related to management, please list the most recent titles, sponsors, and dates:

Title	Sponsor	From	To

These next questions have to do with your interest in home study as a way of learning and your possible interest in further education for yourself by means of home study.

29. First, are you in fact engaged at the present time in any kind of education beyond high school?
   - ☐ A. Yes, I am now a full time student
   - ☐ B. Yes, I am a part-time study taking at least one course for credit toward a degree or certificate
   - ☐ C. Yes, I am a part-time student taking at least one non-credit course
   - ☐ D. No, I am not now a student

30. Which of the following are reasons why you are interested in home study as a way of learning? Please give additional reasons you don't find in this list. [Check as many as apply]
   - ☐ Want to study at my own pace
   - ☐ No academic institutions close to me where I can get needed courses
   - ☐ Do not want to go out at night to classes
   - ☐ Do not want to travel to courses
   - ☐ Do not have enough energy to attend classes after working all day
   - ☐ Home responsibilities make it impossible for me to leave to study
   - ☐ Courses available to me at neighboring institutions do not meet my needs
   - ☐ Child care problems make home study the only way for me to study
   - ☐ Courses I need at institutions are not scheduled when I can attend
   - ☐ Want a guide through the literature
   - ☐ Need to learn now; can't wait for a course to be offered someplace or sometime in future
   - ☐ See home study as a way to help me reach my career objectives
   - ☐ Want to gain CEU's
   - ☐ Like to study on my own, but want some reaction to my work as provided in home study program
   - ☐ Believe home study will help me get a promotion
   - ☐ Want to become more competent in my present job
   - ☐ Want to gain some competence for a future job I am seeking
   - ☐ Have no background in management theory and feel a need to gain some knowledge in this area
   - ☐ Want some help in finding ways to stimulating the employees who work with me
   - ☐ Cost of home study is within my reach
   - ☐ Have the feeling I am too old to go back to school
   - ☐ Have the feeling I am too advanced in my career to go back to school
   - ☐ The red tape involved in enrolling in formal courses is more that I wish to cope with
   - ☐ Think teachers in formal programs would not understand my learning needs and problems
   - ☐ Poor health prevents my taking part in formal courses at universities
   - ☐ No library management collections near me and am counting on home study reading to help me learn
   - ☐ Other:

31. During the next three years, would you like to engage in other job/career related home study programs? (Please check the ONE answer most nearly expresses your feelings.)
   - ☐ Yes, I would like to engage in other home study courses, if they were available
   - ☐ Possibly, but I would have difficulties to overcome
   - ☐ No, I'm not now interested in taking anything further by home study for at least 3 years

32. There are a wide variety of subjects and skills which you might wish to learn. If you had your choice, and didn't have to worry about cost, family responsibilities, etc., what subjects or skills interest you enough for you to spend a fair amount of time learning by means of a home study course? List as many as you wish. ____

____

33. Look back at the answers you listed in the previous question and circle ONE subject or skill which you feel you would most likely study or learn in the next three years, if it were available in home study format and economically possible.

34. Regardless of how long this skill or subject normally takes to learn, or how costly you expect it might be to learn it, how much money would you actually be willing to spend to acquire this skill or knowledge by learning through home study courses? $____________

35. How many hours per week altogether would you want to devote to your studies to acquire this knowledge or skill in a home study mode? ________ hours per week.

36. Would you want to earn some kind of credit for the subject you circled? ☐ No, not interested in credit; ☐ Yes, want statement of satisfactory completion; ☐ Yes, want CEU; ☐ Yes, want academic credit; ☐ Don't know if I want credit or not.

Motivation: A Vital Force in the Organization

Module I:
Motivation in the Organizational Setting

Prepared by:

Fred M. Peterson, Ph.D., Principal Developer
Mary C. Chobot, M.S.L.S., Research Associate
Elizabeth W. Stone, Ph.D., Project Director

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OBJECTIVES FOR MODULE I

The purpose of this module is threefold. First, it introduces you to a framework for conceptualizing organizations as complex social systems. Secondly, it provides you with a model for explaining human motivation based upon individual human needs. Finally, it explores possible roles of the manager or supervisor in regard to motivating individuals.

Specifically, after completing this module, and the readings, you should be able to:

- identify the six elements which define an organization and apply them to the library or information center where you work.

- identify and discuss the basic human needs presented by Maslow, and place them in their proper hierarchy.

- relate Maslow's hierarchy of needs to any organizational situation, including your own.

- analyze the degree to which your organization is presently meeting these needs for you and your co-workers.

- discuss the different points of view regarding the role of the manager or supervisor in motivating subordinates.

TOPIC I: ORGANIZATIONS AND MANAGEMENT

During our lifetimes we are all members of a variety of organizations which we join for some distinct reason or with some specific purpose in mind. These organizational memberships afford us sociological, psychological and educational outlets and opportunities to satisfy equally diverse individual needs. Probably one of the most important organizations with which we are affiliated is the one in which we work, since, in most cases, it is the source of our livelihood and, hopefully, considerable personal satisfaction, not to mention the fact that it demands a fair share of our daily time and energy. Although there may be great diversity in the organizations to which we belong, each of these organizations can be defined as a "social system" in which the efforts of each of its members is directed toward a common goal. In defining an organization, Kast and Rosenzweig, the authors of your first reading, have identified six basic elements or subsystems. An organization is:

1. A subsystem of its broader environment and
2. Goal oriented—people with a purpose, including
3. A technical subsystem—people using knowledge, techniques, equipment, and facilities;
4. A structural subsystem—people working together on integrated activities;
5. A psychosocial subsystem—people in social relationships and coordinated by
6. A managerial subsystem—planning and controlling the overall endeavor.[1]

These basic elements, or subsystems, when considered separately, suggest the complexity of any organization.

Relationship to the Environment

Every organization is a *subsystem of its broader environment*, a sociocultural environment, which it influences and by which it is influenced. For example, a library or information center serves the needs of a larger system whether it be the research staff of a large corporation, a community of scholars, or a diverse segment of the general public. Ideally, the services of the library or information center make a considerable impact upon this larger system, but the services are controlled, adjusted, and modified by the demands, expectations, and changes in this larger system. This environmental system also dictates the available inputs—money, material, and people—for providing the required services. Changes which occur in this broader system dictate changes in the library or information center.

Goal Orientation

Every organization is *goal-oriented* in that it exists for a purpose. Ideally, the group of people composing this organization share this common purpose. The extent to which the library or information center has clarified this purpose, and the degree to which the members share and are committed to this purpose, directly affects the success of the organization in realizing its goal.

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[1] Fremont E. Kast and James E. Rosenzweig. *Organization and Management: A Systems Approach*. 2nd ed. New York: McGraw-Hill, 1974, p. 20.

Technical Subsystem

According to Kast and Rosenzweig, the *technical subsystem* of an organization refers to:

> the knowledge required for performance of tasks. By organizational technology we mean techniques, equipment, processes, and facilities used in the transformation of inputs into outputs. The technical subsystem is determined by the purposes of the organization, and will vary according to the task requirements. The technology frequently prescribes the type of organization structure and psychosocial system.[2]

Librarians and information specialists draw upon a body of knowledge with respect to bibliographic control, user requirements, and available resources, and are dependent upon known techniques, equipment, and technology, generally, in providing their services. As in any profession, changes in technology require the acquisition of new knowledge, methods, and techniques on the part of personnel in libraries and information centers.

Structural Subsystem

Every organization also has a *structural subsystem*, usually reflected in the organization chart, which indicates:

- how the work is divided and what activities are performed by specific groups and individuals,
- who supervises whom,
- who reports to whom.

These structured roles and work assignments provide the members of the organization with a sense of order by establishing logical work groups based upon performance of similar activities, and by creating hierarchical lines of authority. They do not, however, illuminate the complex network of individual and group interaction which characterizes most organizations.

Psychosocial Subsystem

Every organization has a *psychosocial subsystem* which consists of individual behaviors and motivations, status and role hierarchies, group dynamics, and influence systems.[3] Although the components of this subsystem are not apparent on an organization chart, they both influence and are influenced by the structural subsystem. For example, the structural subsystem establishes superior-subordinate relationships, but does not assure the satisfactory actualization of these relationships. Likewise, it assigns formal authority and commensurate status to certain individuals in the organization, but does not guarantee the total acceptance of this authority by each of the members of the organization. In order to understand this psychosocial subsystem, we must confront such issues as why people work, what expectations they have, and how they interact within the formal structure, as well as external to it. It is this subsystem and its interrelationships with the others which is the main concern of this course.

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[2] Fremont E. Kast and James E. Rosenzweig. *Contingency Views of Organization and Management.* Chicago: Science Research Associates, 1973, p. 13-14.

[3] Kast and Rosenzweig. *Contingency Views of Organization and Management,* p. 15-16.

Managerial Subsystem

Within this conceptual framework of the organization as a social system, it is the *managerial subsystem* which coordinates the activities necessary to accomplish the organizational goals. In performing this coordination role, management must harness and integrate the forces of the previously discussed subsystems. Peter Drucker has noted that "without institution (organization) there is no management, and without management there is no institution (organization)."[4] According to Kast and Rosenzweig, this managerial subsystem "plays a central role in establishing goals, planning, organizing, and controlling activities, and in relating the organization to its environment."[5] Hersey and Blanchard, the authors of your second reading, define management as the process of working with and through individuals and groups to accomplish organizational goals, and list planning, organizing, *motivating*, and controlling as managerial functions.

The people responsible for executing these managerial functions at all levels of the organization are appropriately referred to as managers. These managers are dependent upon, and deal with, three basic inputs or resources—namely, ideas, people and things. Goodman stresses that in using these resources, the manager:

> will eventually find that it is the individual, the worker, who must put these resources to work for him, and that the best and most effective use of these resources will depend upon how these workers use them. The condition which emerges is that *one can only get things done with people, with one's workers:* unfortunately it is a fact overlooked by too many supervisors or managers. While this may be overlooked, another factor emerges which is widely noticed; that is, this worker can be highly variable, inconsistent and unpredictable. How well the job is performed is affected by this variability and depends upon how well the worker is self-motivated or how well the supervisor can motivate him.[6]

Interrelationships of Subsystems

Each of these elements or subsystems of the organization is complex unto itself. As has also been apparent in the brief discussions above, they are all very much interrelated. The following diagram which was developed by Kast and Rosenzweig may be useful to the participant for conceptualizing the organization as a total system:[7]

(See Figure 1 on page I-5)

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[4] Peter F. Drucker. *Management: Tasks, Responsibilities, Practices.* New York: Harper and Row, 1973, p. 6.

[5] Kast and Rosenzweig. *Contingency Views of Organization and Management*, p. 15.

[6] Charles H. Goodman. "Employee Motivation," *Library Trends*, volume 20, July 1971, p. 40.

[7] Kast and Rosenzweig. *Contingency Views of Organization and Management*, p. 14.

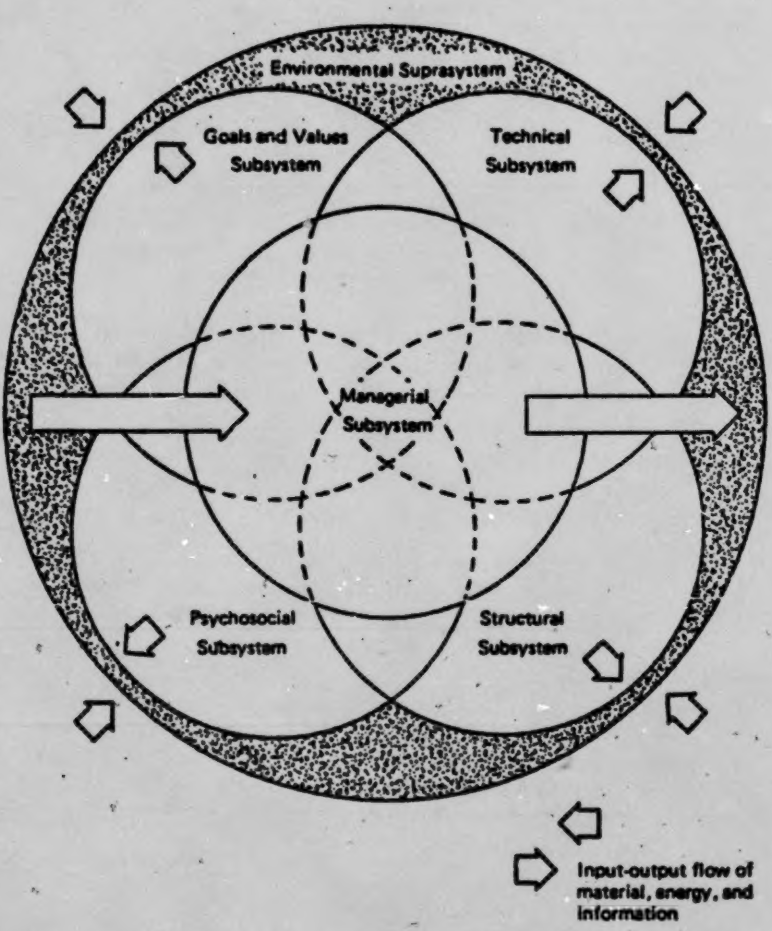
Environmental Suprasystem
Goals and Values Subsystem
Technical Subsystem
Managerial Subsystem
Psychosocial Subsystem
Structural Subsystem
Input-output flow of material, energy, and information

Figure 1. The Organizational System*

Figure 1 illustrates the interrelationship of these subsystems in any organization, including your own. The central role of the managerial subsystem in the coordination of all the other subsystems should also be apparent from the diagram. For example, in planning a new program in your library or information center, you would have to take into account each of the other four subsystems as well as the environmental factors which influence your program.

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*From *Contingency Views of Organization and Management* by Fremont E. Kast and James E. Rosenzweig. © 1973, Science Research Associates, Inc. Reproduced by permission of the publisher.

BEFORE PROCEEDING WITH THIS TOPIC, WE SUGGEST THAT YOU STUDY THE FOLLOWING READINGS:

Reading I-1.

Kast, Fremont E. and James E. Rosenzweig.
Chapter 1: "The Setting of Organization and Management" from *Organization and Management: A Systems Approach*. 2nd edition. New York: McGraw-Hill, 1974, pp. 4-22.

This is an introductory chapter from a respected text which presents a broad perspective of the complexity of organizations and management. It introduces the basic elements of an organization (p. 20) and presents the organization as a complex social system.

Reading I-2.

Hersey, Paul and Kenneth H. Blanchard.
Chapter 1: "Management: a Behavioral Approach" from *Management of Organizational Behavior: Utilizing Human Resources.* 2nd edition. Englewood Cliffs, New Jersey: Prentice-Hall, 1972, pp. 1-8.

This is a brief introduction to the management process and motivation as one of the managerial functions. Note the emphasis on the need for human skills on the part of the manager or supervisor. This course is concerned with the development of these human skills.

SELF-TEST I-1

At this point, locate Self Test I-1 on page I-27 and work through it. When completed to your satisfaction, compare your answers and thoughts to the Analysis which follows.

SELF TEST I-1: ANALYSIS

Below is an analysis of each of the five examples in Self Test I-1. Although your inclination may have been to emphasize only one of the subsystems for each example, in several instances more than one subsystem is represented. This serves to emphasize the interdependency of these subsystems.

Example 1: You have coffee on a regular basis with an individual from another administrative unit or department.

This type of encounter exemplifies the *psychosocial subsystem* in an organization. You should have placed a "P" in the appropriate blank space.

- This type of relationship affords the participants an opportunity to share information about the organization and, as such, can contribute to the cohesiveness of the organization.

- It can provide one or both of the participants with technical information that may be useful in the performance of their formal activities in the organization.

- It fulfills a social need for the participants within the organizational setting.

- In performing the managerial functions, the manager must be cognizant of this type of interpersonal encounter and recognize its potential contribution to the organization's goals.

Example 2: You tell a subordinate to investigate a problem.

This action illustrates the *structural subsystem*, the *psychosocial subsystem*, and the *managerial subsystem*. You should have placed an S, P and M in the appropriate blank space.

- Since this interaction is based upon the formal authority established by the formal organization structure, it exemplifies the *structural sybsystem*.

- The effectiveness of the follow through on this directive will be dependent upon the capabilities of the two individuals involved, and, therefore, illustrates the psychosocial subsystem. For example:

    a) The directive may not be understood by the subordinate.
    b) The subordinate's follow-through may be influenced by the importance which he or she thinks the supervisor places on the problem.
    c) The follow through may be influenced by the importance of the problem as perceived by the subordinate.

- Obviously, this example also illustrates the *managerial subsystem* in that one of the functions of the manager is to direct the activities of the subordinate.

Example 3: You have been asked to analyze and recommend changes in a procedure within your unit.

This example illustrates the *technical, structural* and *managerial subsystems.* You should have placed a T, S and M in the appropriate blank space.

- The *technical subsystem* is illustrated to the extent that you are being asked to draw upon your knowledge and expertise to revise a particular procedure.
- Assuming that the directive has come from your superior in the formal organizational structure, the *structural subsystem* is also represented.
- Also implicit here is the *managerial subsystem*, since procedures are examples of plans at the operational level, and planning is a managerial function.

Example 4: You prepare a monthly report on your accomplishments for the month and submit it to your supervisor.

This activity illustrates the *goals and values, structural, psychosocial* and *managerial subsystems* in an organization. You should have placed a G, S, P and M in the appropriate blank space.

- Since the report is to contain information as to your progress concerning the successful accomplishment of your objectives, the *goal and value subsystem* is obviously represented. Your accomplishments should be contributing to the overall goals of your organization.
- Since you are fulfilling your formal responsibility as subordinate to communicate to your superiors, or vice versa, your reporting illustrates the *structural subsystem*.
- Since it is possible that you might emphasize those activities which you feel your superior would look favorably upon, while tending to downplay or delete those which might tend to diminish your accomplishments in his or her eyes, the *psychosocial subsystem* might be represented in this situation.
- The *managerial subsystem* is illustrated since you are fulfilling your function as manager, to communicate your accomplishments.

Example 5: You are on a committee to formulate goals and priorities for your unit.

All five subsystems come into play in this illustration. You should have placed a G, T, S, P and M in the appropriate blank space.

- The *goal and value subsystem* obviously is important in this example since the committee is dealing with goals and priorities.
- The *technical subsystem* comes into play as you will be called upon to use your technical knowledge and skills, as well as your experience in the area of your expertise, to assist the committee in completing its task.
- The *structural subsystem* is represented since a formal committee, once established, becomes part of the organizational structure.
- The *psychosocial* subsystem is illustrated in this situation as the interaction and relationships between individuals on the committee will either aid or inhibit the committee in accomplishing its task.
- The *managerial subsystem* is illustrated since you are fulfilling one of your functions as a manager, namely, goal-setting which is a basic step in the planning process.

TOPIC II: MOTIVATION AND THE INDIVIDUAL

BEFORE PROCEEDING WITH THIS TOPIC, WE SUGGEST THAT YOU STUDY THE FOLLOWING READINGS:

Reading I-3.

Litterer, Joseph A.
Chapter 2: "Influencing Behavior: Motivation, Learning, and Leadership" in his *Analysis of Organizations.* New York: Wiley, 1965, pp. 21-40.

This reading provides a good overview of human behavior in an organizational setting. It introduces A. H. Maslow's hierarchy of human needs, and relates them to human behavior in an organizational setting. Other management authors, whose theories we will be examining in future modules, also build upon Maslow's classification of human needs.

Reading 1-4.

Maslow, A.H.
"A Theory of Human Motivation", *Psychological Review,* 50:370-396, July 1943.

This is the now classic article by Maslow in which he introduced his hierarchy of human needs. Because of his impact on management literature, we have included it in its entirety here. The major points of Maslow's theory are summarized by Litterer in Reading I-3.

Basic to an understanding of the psychosocial subsystem just discussed, is an understanding of human motivation as a force in organizations. At issue are such questions as: Why do people join organizations? Why do people work?, and What causes different people to perform differently in the same organization? To begin answering these questions, we must first examine the concept of human motivation.

Motivation is a singularly difficult word to define. As a noun, "motivation" is defined in one standard dictionary as follows:

- the act or process of motivating
- an incentive, inducement, or motive, especially for an act

It defines the verb, "to motivate", as follows:

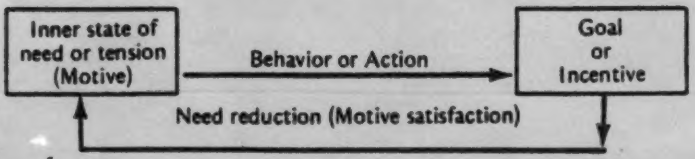
- to stimulate to action
- to provide with an incentive or motive
- to impel
- to incite

These definitions do little to enlighten us on the complexity of human motivation, nor do they clarify the role of motivation in the behavior of the individual. They also fail to suggest the extent to which motivation is inherent to the individual, and to what extent it is induced externally.

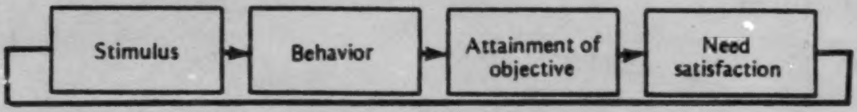
One generally accepted assumption about human behavior is that it is neither aimless nor haphazard, but rather purposeful and goal-directed. Most writers on motivation and human behavior in an organizational setting begin with this assumption:

> Human behavior is seldom random in nature; rather, it is directed toward specific goals, or incentives, in the environment. However, this does not mean that goals control behavior. The goals are attractive only because of the motives they satisfy, which reside within an individual. Therefore, an individual's behavior is guided by his motives, whereas goals, which are external to the individual, provide him with the opportunity for satisfying his motives.[8]

The basic process of human motivation is presented in the following diagram:


Inner state of need or tension (Motive)
Behavior or Action
Goal or Incentive
Need reduction (Motive satisfaction)

Litterer, the author of Reading I-3, presents this basic assumption about human behavior with the following simple diagram:



Stated very simply: an individual's actions are directed toward satisfying recognized needs or motives. This explanation of human behavior generally can be applied to individuals working in an organizational setting.

Maslow's Hierarchy of Human Needs

One common approach to studying the motivational process in organizations, has been to analyze and categorize the needs which individuals try to satisfy in that setting. If the behavior of the individual is goal-oriented toward the satisfaction of needs or motives, then it seems like a useful approach to dissect and understand these needs or motives. A classic attempt to categorize and analyze these needs was developed by A.H. Maslow. He identified five basic human needs, namely: physiological needs, safety needs, belongingness and love needs, esteem needs, and the need for self-actualization. Although Maslow was initially concerned with human development generally, his classification has been widely adapted by behavioral scientists to explain human behavior in organizations. The needs which Maslow identified and classified, can be readily translated into the individual's working environment as illustrated in Table 1.

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[8] Leonard J. Kasmier. "Human Motivation: Basic Findings" in his *Principles of Management*. New York: McGraw-Hill, 1969, p. 195.

Table 1. Maslow's Needs Applied in the Workplace

Maslow's Five Basic Human Needs:	Defined As:	Examples of How Needs Might Be Satisfied in the Workplace:
Physiological Needs	Basic needs required for survival Food, clothing, shelter Thirst, hunger, sex	Sufficient compensation to maintain an adequate standard of living
Safety Needs	Security Safety Protection	Steady employment Adequate pensions Clearly defined job descriptions
Belonging or Membership Needs	Acceptance by others Belonging Affection Social activity	Compatibility with fellow employees Knowledge of and identification with the work organization
Esteem Needs	Respect of others Esteem Status Success Prestige Reputation Self-respect Independence	Respect of others: e.g., fellow employees, supervisors, and the public being served Self-respect: pride in personal accomplishment
Self-Actualization	Self-realization Self-fulfillment	The opportunity to do interesting and satisfying work The opportunity to develop and master new skills The opportunity for self-development and improvement

Maslow further theorized that these human needs could be placed in a hierarchical arrangement beginning with the most basic needs, namely physiological needs and proceeding through the higher-order needs to self-actualization, as shown in Figure 2.

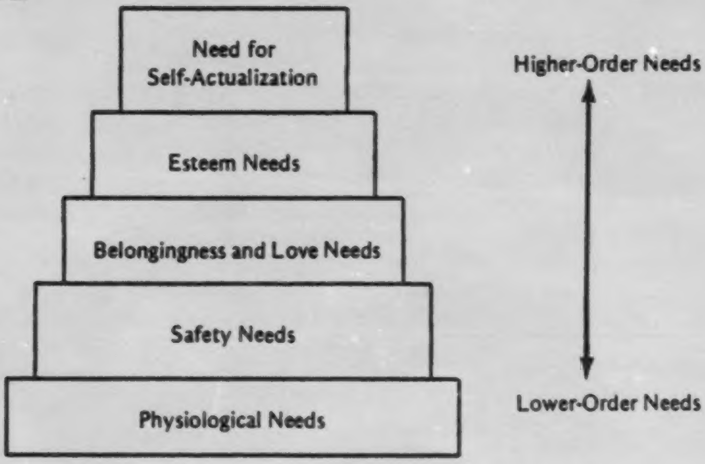

Figure 2. Maslow's Hierarchy of Needs

Based upon this hierarchical concept, an individual would not be activated to satisfy safety needs until his or her physiological needs were at least partially satisfied. This same dependency would continue progressively up the hierarchy so that an individual would not seek to satisfy his or her need for self-actualization until he or she had partially satisfied needs for recognition and self-esteem. Another important aspect of this hierarchy of needs is that a satisfied need no longer serves as a stimulus or motivator. For example, once a person's basic physiological needs have been met, he or she will no longer be activated to satisfying these needs.

Litterer correctly cautions against an overly rigid interpretation of this concept:

> Needless to say, the separation between classes of needs is not as complete as this brief explanation implies. There is considerable overlap between categories, and we should really conceive of the hierarchy as consisting of some highly activated categories, and some temporarily satiated ones, and others much less activated, though unsatisfied.[9]

Despite these limitations, however, this hierarchy of needs has been widely applied to the study of human motivation in an organization. The following case study gives you an opportunity to relate this basic concept to a practical situation.

CASE STUDY I-1

DIRECTIONS: Read the Case Study, then, on a separate sheet of paper:

(1) relate Mr. Bell's situation to Maslow's hierarchy of needs.
(2) select a passage from the case which best illustrates this concept of a hierarchy of human needs.
(3) compare your responses to the Analysis given on pages I-15-16.

CASE STUDY I-1: Bob Bell's Absence During His Wife's Illness*

Since Bob Bell was graduated from a school of library science he has been working at the L— Public Library as assistant in the reference department. Bell is thirty years of age and is married with two very young children. Considering that his position is at a beginning salary, it is not easy for the Bells to meet their expenses, and while both Mr. and Mrs. Bell are good managers there is never any money left over from his monthly salary check.

The L— Public Library serves a large city. Its staff numbers approximately 400 professional and non-professional persons and it is headed by a man who, while he is adept in securing financial support for the library, is generally a rather conservative person as far as personnel relations and administration are concerned. The head of the reference department is a Miss Tremble. The director of the library is Mr. Hastings.

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[9] Joseph A. Litterer, "Influencing Behavior: Motivation, Learning and Leadership" in his *Analysis of Organizations.* New York: Wiley, 1965, p. 29.

*Reprinted by permission of the author and publisher from *The Experience of Management: Case Studies in Public and Academic Library Administration* by Kenneth R. Shaffer, Metuchen, N.J.: Scarecrow Press, 1972. ©1972 by Kenneth R. Shaffer.

About two weeks ago Mr. Bell awakened to find that during the night his wife had become seriously ill. He hastily telephoned a doctor, bathed and fed the children and then telephoned the library, saying that Mrs. Bell was ill and that he would not be able to report for work. Under the care of the doctor Mrs. Bell rapidly recovered and although she was obliged to remain in bed for the second day, by the third day she was sufficiently well so that Mr. Bell could return to his work in the library.

Soon after Mr. Bell had arrived at his post in the reference department, Miss Tremble made a point of coming from her office to inquire about his wife's health. Bell explained to her that the illness had been temporary and while she had seemed to be seriously ill for the first and second day, today she seemed to be well enough to be up and about and to take care of the children. Miss Tremble was a kindly person and after asking if there was any way that she could be helpful, said, "Isn't it a pity that it had to be Mrs. Bell who was ill. As it is, your salary will be 'docked' by the two days of your absence and yet if it had been you who were ill, your sick leave would have taken care of your absence."

Mr. Bell was considerably taken aback by this and said that surely his sick leave would take care of his absence since with two small children it had been impossible for him to leave home under the circumstances. Miss Tremble said that she thought it was an unfair regulation, too, but that she had been a member of the library staff for more than twenty years and the rule had always been quite specific in terms of applying sick leave only to the staff member who was ill. She returned to her desk.

As the day continued, Mr. Bell became alternately irritated and apprehensive. The loss of two days' salary was a serious matter, for even the relatively small amount involved was enough to unsettle his budget. Furthermore, he felt that the rule, if it existed, was a most unfair one and that even if such a rule existed, it ought to be administered with sufficient understanding and flexibility to take care of situations such as his own. Just before lunch he went to Miss Tremble's office and asked if she would have any objection if he spoke of the matter to Mr. Hastings, the director of the library. She said that she had no objections whatsoever.

In the appointment with Mr. Hastings the same afternoon, Mr. Bell outlined his case. He said that with his precarious financial resources and with his two children, an illness on the part of his wife was identical to an illness on his part. He said that he had understood from Miss Tremble that a library rule precluded the application of sick leave to other than the illnesses of members of the staff and Mr. Hastings verified that fact. Mr. Hastings said that many staff members with large families might take advantage of the library if they felt that they could report absent whenever a relative—perhaps not even a near relative—were indisposed. Mr. Bell replied with some feeling that he understood that sick leaves were limited in any case to fourteen working days per year and this would, in his eyes, protect the library from inconsiderate or unscrupulous staff members. To this Mr. Hastings replied that when Mr. Bell was as old and as experienced as he, he probably would realize that human nature was a little less ideal than perhaps he, Mr. Bell, now imagined.

Mr. Bell replied with even more feeling that it seemed to him that the inflexible interpretation of sick leave regulations might lead to dishonesty on the part of the staff. "I was honest with the library, Mr. Hastings," he said, "I could have telephoned last Monday morning and said that it was I who was ill. If that is what you people in the library want, I can do so, but I do not like to be dishonest. It seems to me much better to tell the simple truth. It all seems to boil down, in my eyes," he concluded, "to whether you want us to tell the truth or whether you want us to fabricate illness to meet the regulations that you have been describing to me."

Mr. Hastings' reply to this was framed with a little irritation. He indicated he didn't think that the staff members would get by very long by dishonesty and gave Bell to understand that he regarded the tenor of his remark as out of place and inappropriate.

"Mr. Hastings," Mr. Bell finally said, "you are married and have a family and perhaps you understand another side of this matter. If you can recall the time when your children were young and when your salary was small, you may remember how difficult it was to live on a salary at the beginning level such as I am trying to do now. Mrs. Bell, the children and I do manage to live on my income but, Mr. Hastings, we just barely manage to live on it and then only with the most constant care. I'm being quite realistic," he said, "when I tell you that we cannot live on one penny less that I am making now. That means that if my salary is docked for the two days of my absence when my wife was ill, we will not be able to live on my salary this month. Perhaps you do not value me here," he concluded, "but while I can say that I like it here—I like my work, I like the people I work with—I am equally sure that I cannot accept such a deduction from my small salary and I am afraid that I shall have to look for a job somewhere else."

Hastings received this with some concern, for the L— Public Library had had serious personnel shortages and he had been able to recruit only a small number of the people that he had hoped to from neighboring schools of library science. Finally Hastings said, "Bob, I hope that you won't feel this way. We *do* value you here. You have made a good beginning in the profession and the experience that you are gaining at L— will certainly prepare you for other more important and better paying jobs. From everything that I have heard from Miss Tremble your work has been exceedingly promising. We don't want to lose you. I'll tell you what I'll do, Bob," he concluded, "I'll think this over and if I can find some way of salvaging your salary for those two days I'll certainly try to do so. I'll call you sometime this afternoon in any case.

* * *

CASE STUDY I-1: ANALYSIS

In this case, we find evidence of the principle of a hierarchy of individual needs. Bob Bell is unhappy over the library's policy on sick leave, primarily because it threatens to unbalance his family's rather austere budget, which is based upon his limited income. Although he apparently likes his job, the foremost need felt by him is ostensibly a sufficient income to satisfy the basic physiological needs of his family (i.e., ". . . we will not be able to live on my salary this month"). Perhaps the most revealing passage in the case, as it relates to human needs, is the following comment by Bill Bell:

"Perhaps you do not value me here," he concluded, "but while I can say that I like it here—I like my work, I like the people I work with—I am equally sure that I cannot accept such a deduction from by small salary, and I am afraid that I shall have to look for a job somewhere else."

Although his immediate concern is with a basic need, his remark about being "valued" suggests that he is using the incident to illustrate a lack of recognition. He also indicates in this single sentence that his job is allowing him to meet, in part, his belonging needs (i.e., ". . .I like the people I work with") and his need for self-actualization (i.e., ". . .I like the work"). However, since his physiological needs are in danger of not being met, these other needs become less important.

* * *

Simple reflection upon the diverse needs presented above should suggest why it is sometimes difficult to understand why a colleague, subordinate, or superior does some of the things he or she does within the organizational framework. There is a tendency on the part of many of us to recognize our *own* motives, while failing to identify with those of others. For example, we may rationalize our own need for self-esteem or recognition, but fail to empathize with the same motives when manifested in the actions of our colleagues, supervisors, or subordinates. We are likely to either assign different motives to the actions of others, or to assign our own motives to their actions. Both are likely to give us incorrect assessments.

The use of motives or needs as the basis for understanding behavior in an organization is further complicated by the fact that any individual may seek satisfaction of several of these needs simultaneously, and with varying degrees of intensity. It is also generally recognized that all of these needs or motives are not shared in equal proportion by every individual in the organization. Moreover, many of these motives may not be freely admitted by the individual. As noted by Litterer, "unless we have access to a person's inner self, which is usually not the case, we probably encounter considerable difficulty in attempting to analyze what lies behind a particular set of actions or in predicting what types of actions will likely develop in a particular situation."[10]

You can undoubtedly bring to mind many actions by colleagues which you could not readily explain. Depending upon the situation, your reaction might have resembled one of the following:

- "He's having a bad day."
- "She's always unhappy about something."
- "He just doesn't seem to appreciate everything I've done for him."
- "They just don't realize how good they have it."

Such explanations are often simple rationalizations for complex and recurring problems in the organization. They may be comforting at the time, however, they offer no insights into the *causes* for the behavior which precipitated the comments, and certainly suggest no remedial actions to prevent their recurrence. Behavior patterns which evoke such comments may be manifestations of the individual's inability to satisfy perceived needs.

Completing the Self Test below will help you to hone in on your *own* needs and expectations in your working organization.

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[10] Joseph A. Litterer. *Analysis of Organizations*, p. 28.

SELF TEST I-2

At this point, locate Self Test I-2 on page I-29 and work through it. When it is completed to your satisfaction, compare your ranking with the group ranking shown below.

SELF TEST I-2: ANALYSIS

Obviously there is no "correct" ranking for this self analysis. You may find it interesting, however, to compare your rankings with the cumulative scores of a group of employees at the Manchester Public Libraries, whose collective ordering was as follows:[11]

		Score
1.	To have an interesting job.	318
2.	To experience a feeling of achievement.	255
3.	To be on good terms with. . .	218
4.	To have chances of promotion and growth.	211
5.	To receive full appreciation of work done.	182
6.	To have good working conditions.	170
7.	To earn as much money as possible.	164
8.	To have a secure job.	147
9.	To be kept in the picture.	144
10.	To be on good terms with supervisor.	142
11.	To work for as few hours as possible.	39

You may want to have some of your colleagues take this Self Test also. To obtain a composite ranking for a group of individuals, as was done above, simply add together the numbers assigned by each individual to each item, and then place the statements in the order that these totals indicate.

EXERCISE I-1

At this point, locate Exercise I-2 on page I-31 and work through it. Please mail this exercise for review by your faculty evaluator, as indicated on the exercise sheet.

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[11] D.I. Colley. "Training: The Theoretical Background," *Library Association Record*, volume 72, November 1970, p. 350.

TOPIC III: THE MANAGER'S ROLE IN THE MOTIVATION PROCESS

BEFORE PROCEEDING WITH THE FOLLOWING TOPIC, WE SUGGEST THAT YOU STUDY THE FOLLOWING READINGS:

Reading I-5.

Goodman, Charles H.
"Employee Motivation", *Library Trends*, 20:39-47, July 1971.

In this article, Goodman discusses the role of the supervisor " as one of the prime forces in the motivational process." The importance of relating to each individual as a total person is stressed; and in examining the problem of motivating individuals in an organizational setting, he provides you with some key concepts and concrete ideas as to how you might best accomplish this in your work situation.

Reading I-6.

Ackerman, Leonard.
"Let's Put Motivation Where It Belongs—Within the Individual", *Personnel Journal* 49:559-562, July 1970.

Ackerman emphasizes that one cannot directly "motivate" another. Motivation, says the author, comes from within. The desire to want to do a better job is the individual's decision. However, as a supervisor or manager, you can use strategies to create a physical and psychological *climate* in which the employee has greater freedom to make decisions in terms of *his own* motivations and needs within the context of the needs and requirements of your organization.

The motivation process as defined thus far assumes a rather internalized posture; that is, that the needs or motives which excite people to action are internal to the individual. The question then arises as to the extent that someone can motivate or play a role in the motivation of others. There are differences of view on this question among management scholars and practitioners. On the one hand, you have those who see motivation as a function of the manager—as a responsibility he should assume in the organizational hierarchy. Specifically, they would argue that any supervisor has a responsibility to motivate his or her subordinates. This is apparent in the two standard definitions of motivation cited by Morris:

- "Convincing each subordinate to want to do what he has been assigned or directed to do."—National Management Association
- "Motivation is the work a manager performs to inspire, encourage, and impel other people to take required action."—Louis Allen[12]

---

[12] Jud Morris. *The Art of Motivating.* Boston: Industrial Education Institute, 1968, p. 28-29.

Peter Drucker states that a manager motivates and communicates:

> He makes a team out of the people that are responsible for various jobs. He does that through the practices with which he works. He does it in his own relations to the men with whom he works. He does it through his "people decisions" on pay, placement, and promotion.[13]

Goodman concludes that the supervisor is "one of the primary forces in the motivational process. His prime role is one of developing people who want to participate spontaneously and cooperatively in reaching both organizational and personal goals."[14]

Others contend that the individual cannot be motivated by others. In your readings, for example, Ackerman takes this point of view:

> Whereas managers are told they must motivate their subordinates, parents their children, and teachers their students, this writer will attempt to demonstrate that one cannot "motivate" another. This is not a new approach to motivation, but one that needs reiteration and amplification. The major assumption is that "motive" is internalized (within the individual), not something that one gives to another. By looking at motivation in this manner, the manager should find a more valid approach to achieving more effective employee performance.[15]

Stressing the difference in needs among individuals in any organization, Ackerman goes on to advocate an "individualistic approach" to motivation in an organization. Ultimately, however, the manager is still required to play a role in the motivation process in that an accomodation is required "wherein the needs of the employee and the needs of the organization can be met at some acceptable level of satisfaction for both participants."[16] Such an accommodation requires involvement by the manager or supervisor. Implicit here is the assumption that a manager must create an organizational climate which allows an individual to satisfy his or her needs while contributing to the accomplishment of organizational goals. Such a position does not imply an abdication by the supervisor of his or her role as manager in the motivational process of other individuals in the organization.

No one is suggesting that because motivation is ultimately the result of individual motives or needs, the best approach to managing people is, therefore, to allow them complete freedom of action. Stated simply, such an assumption suggests that all the manager or supervisor needs to do is to get out of the way of the individual and allow the motivational process to guide the actions of each individual. Based upon the differences of individuals described in your initial readings, the results would be chaotic. Several of your readings suggest the fallacy of such logic. Goodman notes that in spite of the difficulty of delineating performance standards in professional organizations, no manager can accept the idea of "unpredictability of output."[17]

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[13] Peter F. Drucker. *Management: Tasks, Responsibilities, Practices*, p. 400.

[14] Charles H. Goodman. "Employee Motivation," *Library Trends*, volume 20, July 1971, p. 46.

[15] Leonard Ackerman. "Let's Put Motivation Where It Belongs—Within the Individual," *Personnel Journal*, volume 49, July 1970, p. 559.

[16] Ibid., p. 560.

In our investigation of motivation and human behavior within the context of the organizational setting, let's begin with the assumption that managers and supervisors need to play a key part in the motivation of subordinates, colleagues, and in some cases, supervisors. Various approaches can be taken, but, realistically they include:

- Making it possible for individuals to satisfy their perceived needs in the organization by making these needs compatible with organizational goals, objectives, and policies,
- Adopting a style of leadership or supervision which allows the individual to realize this compatibility, and,
- Establishing an organizational climate that allows this compatibility to flourish.

The research from behavioral science suggests that it is possible to apply these principles of motivation; and this has been done successfully in many organizations.

EXERCISE I-2

At this point, locate Exercise I-2 on page I-33 and work through it. Please mail this exercise for review by your faculty evaluator, as indicated on the exercise sheet.

WHERE DO WE GO FROM HERE?

Goodman has identified five key elements which play a major role in motivation:

- The employer (or organization)
- The employee
- The work environment
- The goals of the employer (the organization)
- The goals of the other members of the organization (the workers, supervisors, and managers)

He continues that "it is the interplay of these factors that influences the problem of motivation and determines the outcome."[18] It is these elements, and their interplay within an organizational setting, which is the content of this course.

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[17] Charles H. Goodman, "Employee Motivation," *Library Trends*, volume 20, July 1971, p. 41.

[18] Ibid., p. 40.

In Module II we shall examine the motives or needs of the individuals or employees in an organization, and how they seek to satisfy them within the organizational setting. A complete recognition and understanding of these needs is a necessary prerequisite to an understanding of any organization.

Module III will deal with organizational goals and the problems of achieving compatibility between individual needs and goals, and those of the organization.

Module IV will be devoted to an assessment of the interaction between the superior and the subordinate in the organization. This relationship becomes critical in the implementation of the balance between organizational goals and individual needs developed in Module III.

In Module V, we will examine organizational climate in considerable detail, assessing how it contributes to the motivational level of the individual. We will also examine in some specificity many of the practical means available for creating an organizational environment which nurtures motivation.

SELECTED MATERIALS FOR FURTHER STUDY

READINGS

Dalton, Gene W.

"Motivation and Control in Organizations" in Gene W. Dalton and Paul R. Lawrence, eds. *Motivation and Control in Organizations.* Homewood, Illinois: Irwin and Dorsey, 1971, pp. 1-35.

Professor Dalton of Harvard University helpfully relates the concept of motivation to that of control, and identifies three major types of controls used in organizations, each with its own standards, its own monitoring system, and its own system for corrective action when behavior does not meet standards. These three: organizational, social, and individual controls, are compared in relation to five organizational variables both in the text and in a helpful chart (p. 15).

The author has critically reviewed practice and research related to motivation theory, and related it to performance measures and control. Those who are especially interested in this aspect of managing, should find this excerpt from Dalton's book very helpful.

Gellerman, Saul W.

Chapter 2: "Motivation Theory" from his *Management by Motivation.* New York: American Management Association, 1968, pp. 27-39.

Gellerman discusses the assault of behavioral research upon traditional management thinking, such as the "carrot and stick" approach to motivation. Research on positive forms of motivation such as the effects of internal and external rewards upon an individual's behavior in motivating his subordinates is also discussed.

Homme, Lloyd.

"A Modern Concept of Motivation" in Lanore A. Netzer and others, *Education, Administration and Change: The Redeployment of Resources.* New York: Harper and Row, 1970, pp. 35-54.

This is a thought-provoking article about motivation based upon the theories of B.F. Skinner, in which the author discusses the importance of self-management in a free society and suggests a number of motivational techniques for teaching self-management, some of

which are directed especially to administrators.

Using extremely interesting examples (chiefly of accomplishments of pigeons) of what is possible through the application of reinforcement principles, the author maintains that motivation is no longer the "deep, dark mysterious problem" that it is traditionally thought to be, but presents his belief that motivation can be attacked directly by strengthening the behaviors "said to be symptomatic of a motivated human." (p. 36)

Levinson, Harry.

"Asinine Attitudes Toward Motivation," *Harvard Business Review*, 51:70-6, January 1973.

A noted psychologist describes what he calls "the great jackass fallacy"—an unconscious managerial assumption that people respond best to a "carrot-and-stick approach," a reward and punishment system of motivation. The author convincingly argues that "leading involves an understanding of motivation" (p. 76), and *real understanding* involves recognizing the effects of such incorrect assumptions on your thinking, and overcoming them.

Morris, Jud.

Chapters 1 and 2 from *The Art of Motivating: A Guide to Getting More Accomplished Better Through Others.* Boston: Industrial Education Institute, 1968, pp. 1-39.

Morris stresses the point that there are as many ways to motivate as there are people to be motivated. If managers are going to successfully cause employee behavior to change, they must develop the ability to empathize with the individual employee, so that genuine understanding and communication can take place. In Chapter 2, the author defines motivation, pointing out that the real question is not, "How can I motivate people?" but, "How can I assure that a person is 'motivated' toward the desired objective—and how can I improve that motivation?" (p. 33).

Teevan, Richard C. and Smith, Barry D.

Motivation. New York: McGraw-Hill, 1967.

For those who wish to know more about the *psychology* of motivation, this introductory text offers a thorough and systematic presentation. Its programmed format lends itself well to independent study, and no previous knowledge of psychology is necessary to understand this very readable book.

Vonder Harr, T.A.

"Motivation through Need Fulfillment", *Supervisory Management*, 16: 10-14, October, 1971.

The author discusses Maslow's hierarchy of human needs as a helpful tool for the supervisor in understanding the possible causes of employee behavior and performance.

FILMS

Aspects of Behavior.

(Film) CRM Educational Films, 1971. 26 minutes, sound, color, 16mm (Psychology Today Film Series).

Using a group of noted psychologists, this film provides an introduction to the social, physiological, abnormal, and cultural aspects of behavior. Dr. O. Ivar Lovaas defines psychology; Drs. John Darley and Bibb Latane demonstrate an aspect of social behavior; Dr. J. Anthony Deutsch presents the case for pure scientific research; Drs. Silvano Arieti, Arnold Friedhoff, and Julian Silverman discuss abnormal behavior; and Dr. Abraham Maslow presents cultural aspects of behavior.

The Case of the Missing Magnets.
(Film) BNA Communications, 1961. 11 minutes, sound, color, 16mm (Modern Management Series).

This film deals with human relations and the production of a highly motivated, producing team. Challenges every supervisor viewing it to ask himself: "What kind of a worker would I be, working under me?" Also available in 3/4 inch video cassette format (see below).

Examining the Will to Work.
(Film) Henry Strauss Co., n.d. 14 minutes, sound, color, 16mm.

Why should two able, intelligent men, receiving equal pay, show completely different attitudes on their jobs? Why should one be alert, productive, a self-starter—while the other is apathetic, disinterested, doing just enough to scrape by? This film helps supervisors gain new understanding of the factors that stimulate better job performance. It is designed to give them increased practical human-relations knowledge, and help them develop the attitudes they need to use this knowledge with greater effectiveness.

How the Professional Supervisor Motivates People—Intrinsically.
(Film) Republic Steel Corp., n.d. 30 minutes, sound, color, 16mm (Art and Science of Professional Supervision Series).

The focus of this film is on internal motivation, relating the drives, personal needs and interests of people to their work. A companion film from the same series deals with extrinsic motivation and how supervisors might deal with the problems they face with individual employees—topics we will cover in later modules.

Inner Man Steps Out.
(Film) General Electric, 1951. Distributed by Henry Strauss Co. 35 minutes, sound, black/white, 16mm.

Designed to stimulate thinking and discussion about human relations, this film tells the story of Jerry Allen, a supervisor who has trouble getting along with others and himself. Despite his earnest intent, his attempts at getting along fail. He is seen in actual problem situations with his family, the men and women he supervises, his boss. Animation is used to show how at least two "inner men" exist inside of everyone—representing each person's need for security and importance. With the help of a third "inner man", Jerry Allen realizes his own lack of understanding of the feelings and inner needs of others. Also available in 3/4 inch video cassette format (see below).

Maslow and Self-Actualization, No. 1.
(Film) Psychological Films, 1968. 30 minutes, sound, color, 16mm.

The first film in this two film series discusses freedom and trust. The first segment deals with freedom, detachment, creativeness, and spontaneity. The second part, on trust, illustrates the characteristics of acceptance, autonomy, and a sense of one's life mission. Photographs of Sandy, a self-actualizing person, illustrate each of the above characteristics. The film was photographed in the beautiful mountain country of Big Sur, California.

Maslow and Self-Actualization, No. 2.
(Film) Psychological Films, 1968. 30 minutes, sound, color, 16mm.

In the second film, which concerns itself with honesty and awareness, Dr. Abraham H. Maslow discusses honesty to your feelings and trusting them in interpersonal relationships. The second segment deals with awareness of the inner rightness of nature, of the peak experiences of life. In each film, Dr. Maslow discusses dimensions of self-actualization and elaborates on his research and theory.

People Are All Alike.
(Film) National Safety Council, 1965. 10 minutes, sound, color, 16mm (Human Factors in Safety Series).

This film uses case histories of five completely different workers to demonstrate to supervisors that people all have the same basic motivations and needs, which must be recognized in a well-run organization.

Something to Work For.
(Film) Roundtable Films, 1966. 30 minutes, sound, black/white or color, 16mm.

This film depicts motivation from the point of view of management, and reveals what happens when demands are high, communication is open, and people are given the support and encouragement they need to reach common goals.

Strategy for Productive Behavior.
(Film) BNA Communications, 1969. 20 minutes, sound, color, 16mm (Gellerman Motivation and Productivity Series).

Broad implications of behavioral science for management, and the question of motivation by management for greater productivity, are the subjects of this film. Also available in 3/4 inch video cassette format (see below).

Understanding Motivation.
(Film) BNA Communications, 1967. 28 minutes, sound, color, 16mm (Gellerman Motivation and Productivity Series).

Dr. Saul Gellerman, a noted management consultant, explains the scope of behavioral science as it applies to the broad field of management. Motivation is viewed as a product of the worker's perception of his world. Also available in 3/4 inch video cassette format (see below).

Understanding Personality and Behavior.
(Film) American Management Association, 1967. 22 minutes, sound, color, 16mm (Developing Supervisory Leadership Skills Series, Session 3).

Dr. Charles Roth explains that the more insight a supervisor acquires into basic human needs, the better he can understand and deal with the people he supervises. Discusses the physiological requirements of employees, and their desire for security, affection, esteem and the kind of self-fulfillment that motivates men to do their best.

You, Yourself, Incorporated.
(Film) BNA Communications, 1965. 24 minutes, sound, color, 16mm (Joe Powell Series).

This film discusses self-development and motivation. "No matter who your employer is, you are always the sole owner of yourself. You are your own top management." Stresses that the only real development is self-development, and encourages you to re-examine your own potential. Also available in 3/4 video cassette format (see below).

VIDEO CASSETTES

Case of the Missing Magnet.
(3/4 inch video cassette) BNA Communications, 1961. 10 minutes, color.

See annotation under films on page 23.

Inner Man Steps Out.

(3/4 inch video cassette) Henry Strauss Co., 1973. Distributed by Perennial Education, Inc. 35 minutes, color.

See annotation under films on page 23.

Strategy for Productive Behavior.

(3/4 inch video cassette) BNA Communications, 1969. 20 minutes, color.

See annotation under films on page 24.

Understanding Motivation.

(3/4 inch video cassette) BNA Communications, 1967. 28 minutes, color.

See annotation under films on page 24.

You, Yourself, Incorporated.

(3/4 inch video cassette) BNA Communications, 1965. 24 minutes, color.

See annotation under films on page 24.

AUDIO TAPE CASSETTES

Motivation for Managers, Pts. 1-4.

(4 audio tape cassettes) Executape Systems, Inc., n.d. (Management Development Series).

These four audio cassettes are from a series on management development designed for sales managers and salesmen. They define the role of the manager, and stress the importance of understanding what attitude is taken towards people, knowing what people want, and instilling the motivation to work. Since librarians and information workers must also be "salesmen" of the services we have to offer, we, too, can learn from these cassettes!

Self-Actualization.

(Audio tape cassette) Bigsur Recordings, n.d. 60 minutes.

Dr. Abraham Maslow, the distinguished psychologist whose hierarchy of human needs you studied about in Module I, defines self-actualization and discusses his own research on the motivations of self-actualized people.

Strategy for Productive Behavior.

(Audio tape cassette) BNA Communications, n.d. 20 minutes (Motivation and Productivity Series).

Provides a supplement to the film of the same title. The behavioral science's approach to motivation is discussed, as well as why managers should consider the techniques of behavioral science as opposed to more traditional approaches to motivation.

Understanding Motivation.

(Audio tape cassette) BNA Communications, 1970. 20 minutes (Motivation and Productivity Series).

Saul Gellerman and Emanuel Kay discuss and summarize over-all views relative to motivation and the behavioral sciences. Points out that nearly everyone regards his own behavior as sensible and justifiable, and that changes in environment, which affect the individual's perception of his world, affect motivation. Supplements the film of the same title.

TRANSPARENCIES

The Hierarchy of Human Needs

(8 x 10 prepared Transparency) Lansford Publishing Co., 1972. 7 overlays, color. (Management, Pt. 2 Behavioral Aspects of Management Series).

This transparency has seven color overlays which vividly illustrate the concept of Maslow's hierarchy of human needs.

How Human Needs Can Be Satisfied On and Off the Job

(8 x 10 prepared Transparency) Lansford Publishing Co., 1972. 7 overlays, color, (Management, Pt. 2 Behavioral Aspects of Management Series).

Helpful in presenting this concept visually.

SOURCES OF NONPRINT MATERIAL

If the distributor of an item is different from the producer, we have attempted to indicate this. Where only the producer is listed, they distribute their products. Many of these materials may also be available locally through public, academic or other libraries. Check with your local public library system, especially as regards the availability of 16mm film titles.

American Management Association, Inc.
135 West 50th Street
New York, New York 10020

Bigsur Recordings
P.O. Box 4050
117 Mitchell Blvd.
San Rafael, California 94903

BNA Communications, Inc.
A Division of the Bureau of National Affairs, Inc.
5615 Fishers Lane
Rockville, Maryland 20852

CRM Educational Films
1011 Camino De Mar
Del Mar, California 92104

Educational Systems and Designs
136 Main Street
Westport, Connecticut 06880

Executape Systems, Inc.
4700 Fremont
P. O. Box 80636
Lincoln, Nebraska 68504

Henry Strauss Co., Inc.
31 West 53rd Street
New York, New York 10019

Lansford Publishing Company
P.O. Box 8711
1088 Lincoln Avenue
San Jose, California 95155

National Safety Council
425 North Michigan Avenue
Chicago, Illinois 60611

Perennial Education, Inc.
1825 Willow Road
Northfield, Illinois 60093

Psychological Films
205 West 20th Street
Santa Ana, California 92706

Republic Steel Corporation
Public Affairs Department
P.O. Box 6778
1025 Republic Building
Cleveland, Ohio 44115

Roundtable Films, Inc.
113 North San Vicente Blvd.
Beverly Hills, California 90212

Salenger Educational Media
1635 12th Street
Santa Monica, California 90404

SELF TEST I-1

This Self Test affords you an opportunity to check your understanding of the organizational model described on pages I-2-4 of the text and Figure 1 on page I-5.

Since this is a Self Test, you need not return it to your faculty evaluator; compare your answers to the Analysis on pages I-6-9 of the text.

DIRECTIONS: Read each of the organizational action statements given below.

Using the following letters:

G = Goals and Values Subsystem
T = Technical Subsystem
S = Structural Subsystem
P = Psychosocial Subsystem
M = Managerial Subsystem

Place the letter(s) representing the appropriate subsystem(s) illustrated by each statement in the space provided.

1) You have coffee on a regular basis with an individual from another administrative unit or department. ____

2) You tell a subordinate to investigate a problem. ____

3) You have been asked to analyze and recommend changes in a procedure within your unit. ____

4) You prepare a monthly report on your accomplishments for the month and submit it to your supervisor. ____

5) You are on a committee to formulate goals and priorities for your unit. ____

Now compare your answers to the Analysis given on pages I-6-9 of the text.

SELF TEST I-2: "What Do You Expect From Your Job?"*

Please read the following list of job expectations carefully. In the left hand column, next to each of the items, write in the number of the "expectation" you consider most important to least important. The most important "expectation" will carry the highest number (i.e., #11) whereas the least important will carry the lowest (i.e., # 1) with other expectations ranging in between. All items must receive a number, and each number (from 1 to 11) may be used only once.

Rank Order **Expectation**

______ 1. To earn as much money as possible.

______ 2. To work as short a work week as possible.

______ 3. To be and to stay on good terms with my immediate supervisor.

______ 4. To be kept in the picture about what is happening in the library.

______ 5. To be on good terms with my colleagues.

______ 6. To have an interestiing and challenging job.

______ 7. To have good working conditions.

______ 8. To receive full appreciation for work done.

______ 9. To have a secure job.

______ 10. To have chances of promotion and growth within the library.

______ 11. To experience a feeling of achievement.

Now compare your ranking to the group rankings shown on page I-17 of the text.

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*Based on D. I. Colley, "Training: The Theoretical Background," *Library Association Record* 72:349-350, November, 1970.

40

Name: ________________________________

EXERCISE I-1

After completing this exercise, be sure to make a copy for your records. Then place the original in an envelope, and mail it for review by your faculty evaluator to:

Motivation: A Vital Force in the Organization
CLENE Home Study Project
P.O. Box 1228
620 Michigan Avenue, N.E.
Washington, D.C. 20064

Based upon your readings and personal reflections thus far, briefly discuss the extent to which your present working situation permits you to satisfy each of Maslow's categories of needs:

(Try to cite specific reasons why you personally feel these needs are, or are not, being met.)

1) Physiological needs:

2) Safety needs:

3) Belongingness and love needs:

4) Esteem needs:

5) Self-actualization:

Name: ____________________

EXERCISE I-2

After completing this exercise, be sure to make a copy for your records. Then place the original in an envelope, and mail it for review by your faculty evaluator to:

Motivation: A Vital Force in the Organization
CLENE Home Study Project
P.O. Box 1228
620 Michigan Avenue, N.E.
Washington, D.C. 20064

Below are six statements reflecting the attitudes of six hypothetical supervisors or managers with respect to motivating subordinates. In the space provided after each statement, discuss its merit based upon your study thus far. (NOTE: There are no absolute answers for this exercise. This exercise is designed to give you the opportunity to synthesize your initial readings and the ideas they may have evoked.)

Statement A: People are motivated by fear. If they know I can or will fire them, they will do what I say. As long as they don't know where they stand with me, they will work harder in order to feel more secure.

Statement B: People are primarily motivated by money. As long as they are paid well, and are financially rewarded for good performance, they are motivated to improve.

Statement C: People are motivated by each other and behave in ways that will please their fellow workers. As long as conditions allow for a congenial work group, they will be motivated to work well.

Statement D: People are motivated when they are given as much freedom and latitude to perform their activities and duties as possible. They should be allowed to make decisions for themselves, and they will be self-motivating.

Statement E: People like to have clear directions and know precisely what is expected of them. They need structure and direction to motivate them to perform.

Statement F: People like to feel that they are important, so I take every opportunity I can to compliment them, and ask their opinions. Most people are motivated when they think they are being listened to.

Name: ______________________________
(optional)

EVALUATION OF MODULE I

Now that you have completed this module, we would appreciate having your reactions and critical comments. Please answer the questions below and feel free to make additional comments. If more space is needed, continue on the back of this page. Please mail to:

Motivation: A Vital Force in the Organization
CLENE Home Study Project
620 Michigan Avenue, N.E.
Washington, DC 20064

1. All things considered, how would you rate this module?

1	2	3	4
excellent	good	mediocre	poor

2. Were the directions and the instructions included throughout the module sufficient?

1	2	3	4
ample	sufficient	minimally sufficient	insufficient

3. Was the material presented in a logical form?

1	2	3	4
very logical	reasonably logical	minimally logical	illogical

4. Was there a sufficient variety of activities?

1	2	3	4
ample variety	sufficient	minimally sufficient	insufficient

5. Did the module contain the right amount of material?

1	2	3	4
too much	just right	about right	too little

6. What was the best thing about this module?

7. What was the worst thing about this module?

Additional Comments:

Motivation: A Vital Force in the Organization

A HOME-BASED STUDY COURSE FOR LIBRARY/MEDIA/INFORMATION PERSONNEL

Module I: Motivation in the Organizational Setting

Readings for Module I

Produced by:

The Continuing Library Education Network and Exchange [CLENE]
P.O. Box 1228
620 Michigan Avenue, N.E.
Washington, DC 20064

This work has been prepared under contract with the U.S. Office of Education, Program for Library Research and Demonstration under Title II-B, Higher Education Act, as amended.

Contents*

READING I-1

"The Setting of Organization and Management" 1

From: Kast, Fremont E.; Rosenzweig, James E. *Organization and Management: A Systems Approach*, second edition. 1974. McGraw-Hill.

READING I-2

"Management: A Behavioral Approach" 11

From: Hersey, Paul; Blanchard, Kenneth H. *Management of Organizational Behavior: Utilizing Human Resources*, second edition. 1972. Prentice-Hall, Inc.

READING I-3

"Influencing Behavior: Motivation, Learning, and Leadership" . . . 15

From: Litterer, Joseph A. *The Analysis of Organizations*. 1965. John Wiley & Sons, Inc.

READING I-4.

"A Theory of Human Motivation" 25

A.H. Maslow

From: *Psychological Review*, 50:370-396, July 1943. American Psychological Association.

READING I-5.

"Employee Motivation" 39

Charles H. Goodman

From: *Library Trends*, 20:39-47, July 1971.

READING I-6.

"Let's Put Motivation Where It Belongs–Within the Individual" . . 44

Leonard Ackerman

From: *Personnel Journal*, 49:7, 559-562, July 1970.

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1

THE SETTING OF ORGANIZATION AND MANAGEMENT

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Man is a social animal with a propensity for organizing and managing his affairs. He does so in an increasingly complex and dynamic environment. Many disciplines are contributing to an eclectic body of knowledge—organization theory—which, coupled with experience, is the foundation for management practice. In this chapter the setting of organization and management will be introduced via the following topics:

Man: A Social Animal
Pervasiveness of Organization and Management
Newness of Relevant Disciplines
Nature of Organization Theory and Management
Increasing Complexity of Organizations
Key Concepts
Outline of Book

MAN: A SOCIAL ANIMAL

Man is a social animal. This statement seems universally acceptable, yet it is deceptively simple. Moreover, it contains a number of implications which are fundamental to the development of an integrated body of knowledge concerning organization and management.

More specifically, man is a biped primate mammal (Homo sapiens) anatomically related to the great apes but distinguished especially by notable development of the brain that provides him with the capacity for articulate speech and abstract reasoning.

Man is an organizing animal. His perceptions are organized into a meaningful whole. This is the universal characteristic of the cognitive, or thinking, process. The term *social* implies that men tend to develop cooperative and interdependent relationships.

Behavior is goal-oriented. Thus it is important to understand the basic objectives of men in society in order to attain a clear understanding of behavior. Two diametrically opposed views of the innate nature of man have been presented throughout history: (1) that man is basically aggressive and competitive (evil) and (2) that man is basically good-natured and cooperative (good).[1] Undoubtedly this polar approach is an oversimplification, but it serves as an example of the diverse frames of reference for studying behavior. As in most such debates, reality lies somewhere in the middle. For example, in discussing the genesis of man Robert Ardrey stresses "the development of a dual code of behavior—amity for the social partner, hostility for the territorial neighbor."[2]

This dual behavior pattern is quite evident in society. Children compete with brothers or sisters for parental attention or specific family resources and yet cooperate in many endeavors. They may cooperate in competition with other neighborhood children, for example. Companies compete in a given industry and yet cooperate in associations for particular purposes, often to compete with other industries or to fight unions or governmental regulation. Individuals compete for a position on an athletic team but cooperate with other team members in competition against opponents. Thus it is apparent that competition and cooperation are both pervasive and fundamental aspects of man's behavior patterns.

Goal-oriented behavior, cognitive processes, cooperation, and conflict are only a few of the fundamental and pertinent issues in the study of man the social animal. These are part of the total system within which man organizes and manages his affairs.

PERVASIVENESS OF ORGANIZATION AND MANAGEMENT

The tendency to organize or cooperate in interdependent relationships is inherent in man's nature. Although conflict within families and clans is evident, the group provides a means of protection and hence survival. Organized activity today ranges on a continuum from informal, ad hoc groups to formal, highly structured organizations. Military activities and religious affairs were among the first to become formally organized. Elaborate systems were developed and by and large have persisted, with modifications, to the present. Business and government are other spheres of activity which have developed formal organizations geared to task accomplishment. Man engages in many voluntary organizations in his leisure time—some recreational, some philanthropic, and some of a crusading nature.

Many different definitions of organization have been set forth by scholars, depending on their background and point of view with respect to what is relevant and/or

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[1] Henry P. Knowles and Borje O. Saxberg, "Human Relations and the Nature of Man," *Harvard Business Review*, March–April 1967, pp. 22ff.; Robert Ardrey, *African Genesis*, Dale Publishing Company, Inc., New York, 1963, and Alexander Alland, Jr., *The Human Imperative*, Columbia University Press, New York, 1972.

[2] Ardrey, op. cit., p. 19.

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important. Certain fundamental or essential elements are apparent in these definitions. As stated previously, behavior is goal-oriented. Therefore it should follow that organization behavior is directed toward objectives which are more or less understood by members of the group. The organization uses knowledge and techniques in the accomplishment of its tasks. Organization implies structuring and integrating activities, that is, people working or cooperating together in interdependent relationships. The notion of interrelatedness suggests a social system. Therefore we can say that *organizations* are: (1) *goal-oriented*, people with a purpose; (2) *psychosocial systems*, people working in groups; (3) *technological systems*, people using knowledge and techniques; and (4) *an integration of structured activities*, people working together.

Although organization implies integration and coordination of individual or subgroup activities, some conflict is inevitable. It may be overt; often it is covert. It may be functional or dysfunctional, depending on whether it leads to effective and/or efficient organization performance. Moreover, short-run ineffectiveness and/or inefficiency may lead to superior results in the long run. Management's task is the integration of diverse—sometimes cooperative, sometimes conflictive—elements into a total organizational endeavor.

Management involves the coordination of human and material resources toward objective accomplishment. We often speak of individuals managing their affairs, but the usual connotation suggests group effort. Four basic elements can be identified: (1) *toward objectives*, (2) *through people*, (3) *via techniques*, and (4) *in an organization*. Typical definitions suggest that management is a process of planning, organizing, and controlling activities. Some increase the number of subprocesses to include assembling resources and motivating; others reduce the scheme to include only planning and implementation. Still others cover the entire process with the concept of decision making, suggesting that decisions are made in establishing objectives, in planning programs or projects to accomplish those objectives, in dividing the work and establishing structural relationships, and in controlling the activity in question. This requires a broad connotation for the decision-making process and is one alternative approach to the study of management.

Management is the primary force within organizations which coordinates the activities of the subsystems and relates them to the environment. The study of management is relatively new in our society, stemming primarily from the growth in size and complexity of business and other large-scale organizations since the industrial revolution.

> The emergence of management as an essential, a distinct and a leading institution is a pivotal event in social history. Rarely, if ever, has a new basic institution, a new leading group, emerged as fast as has management since the turn of this century. Rarely in human history has a new institution proven indispensable so quickly; and even less often has a new institution arrived with so little opposition, so little disturbance, so little controversy. . . . Management, which is the organ of society specifically charged with making resources productive, that is, with the responsibility for organized economic advance, therefore reflects the basic spirit of the modern age. It is in fact indispensable—and this explains why, once begotten, it grew so fast and with so little opposition.[3]

Managers are needed to convert the disorganized resources of men, machines, material, money, time, and space into a useful and effective enterprise. Essentially, management is the process whereby these unrelated resources are integrated into a total *system for objective accomplishment*. A manager gets things done by working with people and physical resources in order to accomplish the objectives of the system. He coordinates and integrates the activities and work of others. To accomplish this task, the manager should be analytical while recognizing relationships and the need to synthesize.

A recurring question is the distinction between the terms *management* and *administration*. "Administration" often has had the connotation of governmental or other nonprofit organizations, whereas "management" has been relegated to business enterprises. However, there is considerable overlap in usage. YMCAs have boards of managers, for example. The military has program managers with overall responsibility for mission accomplishment. On the other hand, many colleges of business administration have management departments. We will use the terms interchangeably and tend toward the use of the term management regardless of whether the specific example involves business organizations, hospitals, philanthropic institutions, or government bureaus. On this basis, management is a most pervasive activity. According to Hertz, "the single ubiquitous mind-driven activity of mankind is management."[4] We are all involved in management—of ourselves, of our economic and social activities, and of society as a whole.

Individuals and organizations make adaptive decisions continually in order to remain in a dynamic equilibrium with their environment. Information flow is essential for the decision-making process. It involves knowledge of the past, estimates of the future, and timely feedback concerning current activity. Management's task is implementing this information-decision system to coordinate effort and maintain a dynamic equilibrium.

With organization and management as pervasive as they are and have been for centuries, we might naturally assume a well-defined body of knowledge which provides a framework for research, teaching, and practice. There is a body of knowledge, but it is not particularly well defined, and currently it appears to be evolving rapidly. A number of conditions have hampered the development of a well-defined body of knowledge—particularly the increasing complexity within organizations and the dynamic nature of their environment. This increasing complexity makes the managerial task exceedingly difficult in most instances. Before lamenting the seeming lack of progress in organization theory, it might be well to consider the state of knowledge in general. Explicit consideration of the relative newness of relevant disciplines can be rather startling.

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[3] Peter F. Drucker, *The Practice of Management*, Harper & Row, Publishers, Incorporated, New York, 1954, pp. 3–4.

[4] David B. Hertz, "The Unity of Science and Management," *Management Science*, April 1965, p. B-89.

NEWNESS OF RELEVANT DISCIPLINES

"If the age of the universe is taken as one day, mankind has existed only for the last ten seconds."[5] Human civilization, or the development of man as we tend to think of him, has been in progress for approximately 10,000 years. Anthropologists seem to disagree with regard to the actual point of emergence, with estimates ranging between 200,000 and 1,000,000 years ago. Recorded history, however, relates primarily to the period designated as "human civilization."

For example, Sédillot begins his discussion of the ancient world by considering the civilization of the Nile at approximately 5000 B.C.[6] He prefaces this beginning point with some discussion of prehistoric man and his development as a hunter, herdsman, farmer, and eventually a town dweller. In this historical framework man has developed for approximately 7,000 years. Organizations and management have been important and fundamental elements in society and have been affected by progress on many fronts during this period. Science and technology have received considerable attention throughout the centuries, but even in this regard, the last 300 years have been the most important.

Philosophical considerations, particularly moral and ethical systems, have had an impact on society in general and on organization and management in particular. But the concern of philosophers was seldom focused on practical considerations such as organizing and managing specific endeavors. Scientific disciplines have emerged as separate and distinct bodies of knowledge as man's search for enlightenment has continued. However, the entire social science field, behavioral science in particular, has been relatively slow in developing.[7] Anthropology, sociology, and psychology are products of the last 100 years. Economics and political science emerged somewhat earlier as specific disciplines. Organization theory and/or management practice did not receive concerted attention until the twentieth century.

Within this historical context, a well-developed body of knowledge may be too much to ask of this fledgling discipline. Yet significant strides have been made, and a body of knowledge has been developing which in turn has been useful in managing organizations of diverse characteristics and objectives.

NATURE OF ORGANIZATION THEORY AND MANAGEMENT

What do we mean by the phrase "management and organization theory"? Is it one body of knowledge; a group of interrelated and consistent principles? Or, are there two separate bodies of knowledge—(1) organization theory, and (2) management theory?

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[5] Victor F. Weisskopf, *Knowledge and Wonder*, Doubleday & Company, Inc., Garden City, N.Y., 1962, p. 58.
[6] René Sédillot, *The History of the World*, Harcourt, Brace & World, Inc., New York, 1951.
[7] Kenneth E. Boulding, *The Impact of the Social Sciences*, Rutgers University Press, New Brunswick, N.J., 1966.

The literature that has developed around these concepts is somewhat ambiguous with regard to these questions. Numerous books or articles can be found with "management theory," "organization theory," or "management and organization theory" in the title. And they tend to treat the same subjects. There may be different emphasis on the various terms or concepts involved. However, there are essential elements or common threads evident throughout the literature.

We think it may be useful to distinguish these concepts in order to provide a useful framework for research, teaching, and practice. We suggest that organization theory is the body of knowledge, including hypotheses and propositions, stemming from a definable field of study which can be termed *organization science*.[8] The study of organizations is an applied science because the resulting knowledge is relevant to problem solving or decision making in ongoing enterprises or institutions. "Describing it thus implies two things: one, that there is a formulated body of method and basic knowledge; two, that there is a special group of problems to which this corpus of methods and knowledge applies with observable results."[9]

Because of the pervasiveness of organizations, the related theory and scientific study are extremely broad-based. It is an eclectic theory, a total system comprised of many subsystems of relevant disciplines such as parts of sociology, psychology, anthropology, economics, political science, philosophy, and mathematics (see Figure1.1). Not all these above mentioned disciplines are applicable to the same degree; only a small subpart of a particular subject-matter area may be relevant. During the twentieth century, however, society's organizations have received increasing attention, and the study of organizations has evolved as an important, visible, and definable field.

As indicated in Figure 1.1, contributions to organization theory come from many sources. Deductive and inductive research in a variety of disciplines provides a theoretical base of propositions which are useful for understanding organizations and for managing them. Experience gained in management practice is also an important input to organization theory. In short, Figure 1.1 illustrates how the art of management is based on a body of knowledge generated by practical experience *and* scientific research concerning organizations.

Management's task is one of integrating and coordinating organizational resources (men, material, money, time, and space, for example) toward the accomplishment of objectives as effectively and efficiently as possible. The importance of the translation of theory into practice in the real world is emphasized by Storer: "It is the application of scientific knowledge in engineering and other forms of technology that has brought such spectacular changes in the material contexts of our lives over the past century, and it has been the 'popularizers' rather than the scientists themselves who have facilitated the impact of scientific findings upon our basic values and our view of the world."[10]

Organization theory, itself, stems from an applied science which draws upon the

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[8] "Organizationology" might be appropriate if the term were less cumbersome.
[9] Marshall A. Robinson, "The Science of Organizations: A Pediatric Note," *Management International Review*, 1966, no. 4, p. 3.
[10] Norman W. Storer, *The Social System of Science*, Holt, Rinehart and Winston, Inc., New York, 1966, p. 1.

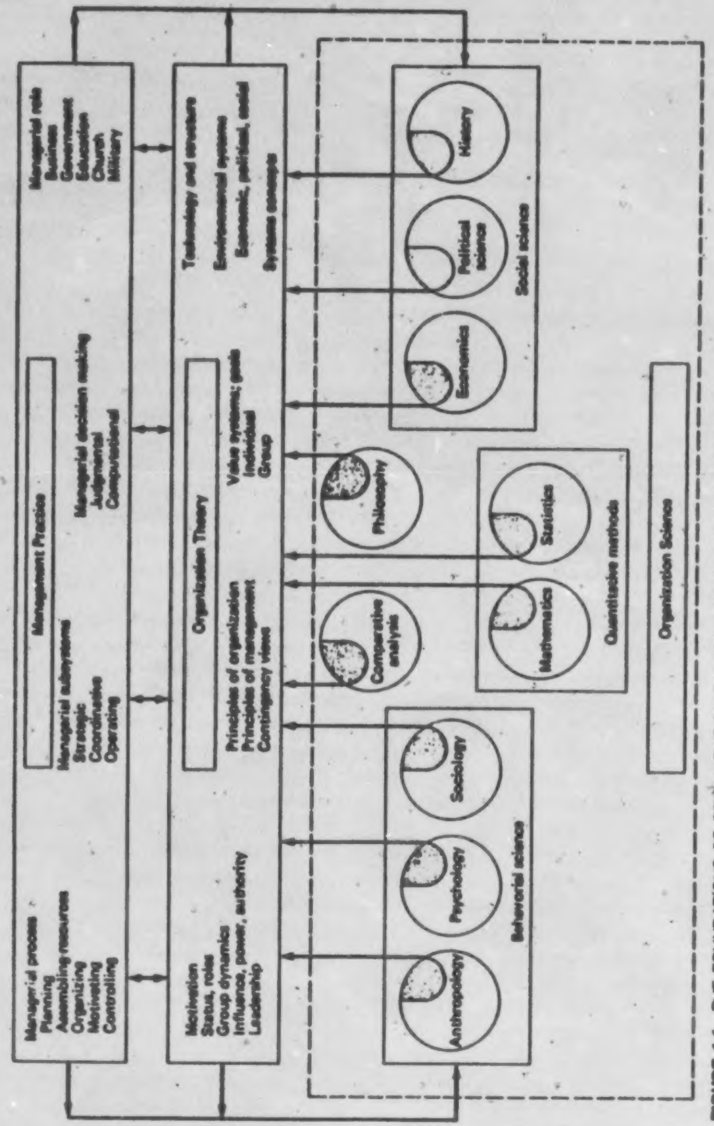

FIGURE 1.1 THE FOUNDATIONS OF ORGANIZATION THEORY AND MANAGEMENT PRACTICE

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basic disciplines and their relatively more abstract theories only as they are relevant to organizations found in society. Management technology stems from organization theory and is even more applied in the sense that it focuses on the practice of management in ongoing organizations. With this view of the relationship between organization theory and management in mind, let us turn to a more specific discussion of the requirements of an organization science.

Requirements of an Organization Science

Organization science, like any particular field of study, has subject matter in some specific segment of reality, and in addition, research in the field is carried out in a specific manner which has been designated as "scientific." Thus propositions stemming from work in organization science must (1) be relevant to organizations and (2) possess scientific quality.[11]

The pervasiveness of organizations and management argues for considerable latitude with regard to the organizations studied and the scientific methods used. Moreover, the value systems of researchers, teachers, and practitioners are quite diverse, and hence the determination of relevance and scientific method may vary considerably. On the other hand, the concerted effort toward the development of organization theory during the mid-twentieth century has resulted in useful dialogue, cross-fertilization, and mutual understanding among participants. While no well-defined consensus has yet appeared, there are consistent threads of inquiry and agreement with regard to the general scope of organization theory. Although not exhaustive, Figure 1.1 indicates many of the key concepts and areas of interest.

The scientific quality of propositions is important in establishing the soundness of any body of knowledge. Relevance is not enough. Research must be carried on in a careful, systematic, objective manner in order that the research findings be credible. Inductive research must be carried on in a "public" manner so that resulting theories may be cross-checked and verified via concurrent or subsequent research. The source of deductive conclusions (propositions) must be evaluated in order to ascertain the knowledge and experience of the contributor.

Early management concepts came from practitioners. Texts were often the distillation of experience in ongoing enterprises. Such contributions are important and valuable additions to the body of knowledge comprising organization theory. We need continued observation and conceptualization from astute practicing managers. Meanwhile, scientist-scholars have become more and more involved in research related to organizations but carried on in the context of basic disciplines. Other scholars have been engaged in integrating findings from basic disciplines and translating the results into meaningful concepts or propositions.

Integration of the body of knowledge comes from two directions. Those primarily engaged in studying organizations and management have looked toward the basic disciplines for new insight. Simultaneously, those engaged in the work of basic disciplines have become increasingly aware of the pervasiveness of organizations in society and have begun to concentrate attention on relevant problems. Industrial psychology and industrial sociology are two subfields which give evidence of this trend.

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[11] Paul Hanly Furfey, "Sociological Science and the Problem of Values," in Llewellyn Gross (ed.), *Symposium on Sociological Theory*, Harper & Row, Publishers, Incorporated, New York, 1959, p. 511.

Two Kinds of Knowledge

What kind of body of knowledge do we have in mind for organization theory? Adler describes two kinds of knowledge—(1) in the high or strong sense and (2) in the moderate sense.[12] Knowledge in the strong sense lies beyond the challenge of skeptical doubt and is final, that is, beyond the possibility of revision in the course of time. This connotation of knowledge is unrealized so far and probably is an unrealistic ideal for any discipline. Yet philosophers and scientists, for centuries, have sought to establish systems which could meet such criteria. Often, the proponent was "certain" that he had the ultimate system and that "everything" fell neatly into place.

There have been many references to the exact versus the inexact sciences. However, as new findings continue to come in on all fronts in man's search for knowledge, we find that exactness is a relative concept. Some disciplines are relatively more exact than others, and all knowledge developed to date remains open to further refinement. Increasingly, propositions are stated in terms of probabilities, which vary between 0 and 1, depending on the discipline and the particular proposition in question. In short, the concept of knowledge in the high or strong sense can be ruled out for science in general and organization science in particular.

What are the characteristics of knowledge in a more moderate sense? "The properties of knowledge in this moderate sense are that it consists of propositions which are (1) testable by reference to evidence, (2) subject to rational criticism, and either (3) corrigible or rectifiable or (4) falsifiable."[13] This framework is much more amenable to the study of organizations. These properties connote the probabilistic nature of propositions in organization theory. They imply an evolving body of knowledge which is adjusted as new evidence is developed or as new concepts emerge from astute criticism. Refinements are made continually in the theory, and there is always the chance that some propositions may be eliminated altogether if they prove to be false on the basis of new findings. Taken together, these properties indicate that a body of knowledge can be described as "responsible, reliable, well-founded, reasonable opinion."[14]

The term *opinion* is used to emphasize that there is no knowledge in the high sense, that is, the final irrefutable truth. On the contrary, knowledge is opinion based on objective, well-founded inductive and deductive reasoning. Obviously some opinions have better bases than others. There are tentative hypotheses and there are laws. Unfortunately the word "opinion" has an everyday or common use which connotes the lack of foundation, even bias or prejudice. Actually, the foundation for opinion can vary along a continuum. Some is well founded; some is not.

An Intellectually Respectable Discipline

It seems to us that organization theory meets the criteria for a body of knowledge in the moderate sense set forth above. If so, the study of organization is apparently a legitimate scientific endeavor. Unfortunately, however, society has often attached a gradation of goodness or legitimacy along the continuum of exactness. Research, teaching, and practice which stem from so-called "exact sciences" have been regarded as relatively more worthwhile endeavors than those based on the less exact sciences. In some cases the question of the newness of relevant disciplines has affected attitudes. Those activities based on new and emerging disciplines have sometimes been considered less worthy as measured by some societal consensus.

The struggle for "a place in the sun" goes on in academic institutions and in society as a whole. The tremendous emphasis on science and engineering in the immediate post-*Sputnik I* era is an indication of the relative merit assigned to occupations by society in general. This trend has been ameliorated somewhat since then; yet the newer, so-called "inexact" or "soft" sciences and their derivative occupations have a continual struggle for relative legitimacy. This problem is of particular import for organization theory and the practice of management.

The study of organizations and their management is an intellectually respectable discipline. Organization theory sets forth propositions which are testable. It is also conducted as a public enterprise with many contributors. Everyone has theories concerning individual and organizational behavior—at least implicit if not explicit. Research and the resulting literature have increased at an accelerating rate and will continue to do so. Research is conducted by scholars from many disciplines; indeed, the same organization is often studied from several points of view. The results are compared at separate points in time, for organizations in various cultures, and for different types of institutions within a given culture. All this activity has made the study of organizations one of the most visible and public enterprises in society.

Organization science has questions of its own which set it apart as a relatively autonomous discipline. That is, it is concerned with questions that other disciplines are not. Obviously many questions cross discipline boundaries with perhaps some variation in emphasis. Some of the topics of particular interest to organization students are:

1 Goals and value systems
2 The use of technology and knowledge in organizations
3 The structuring of organizations
4 The relationship between formal and informal structure
5 Differentiation and integration of activities

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[12] Mortimer J. Adler, *The Conditions of Philosophy*, Dell Publishing Co., Inc., New York, 1965, pp. 21–31.
[13] Ibid., p. 28.
[14] Ibid., p. 29.

6 Motivation of organizational participants
7 Group dynamics in organizations
8 Status and role systems in organizations
9 Power, authority, and influence in organizations
10 Managerial processes in organizations
11 Information-decision systems in organizations
12 Stability and innovation in organizations
13 Organizational boundaries and domains
14 Interface between organizations

In studying organizations time should be devoted to introspection. For those engaged in the field of study (possibly all of the time for some and some of the time for all), some effort should be devoted to thinking about the discipline itself, its growth and evolution. Researchers, teachers, and practitioners should be aware of the body of knowledge that now exists and is developing. In addition, they should be concerned about new directions of inquiry. In other words, what should organization science encompass, and what should be its thrust? These questions provide a framework within which the field of study develops.

There is the danger at times that a scientific discipline may begin to exist for its own sake and emphasize esoteric concepts. It is true that there is a gradation from applied to pure research. However, there is no absolutely "pure" research. In the long run everything is applied; hence, a discipline must keep in touch with the real world. In an evolving body of knowledge such as organization theory, there are many tentative conclusions and propositions. However, the real world cannot wait for the ultimate body of knowledge (there is none!). Practicing managers in business firms, hospitals, and government agencies continue to operate on a day-to-day basis. Therefore, they must use whatever theory is available. Practitioners must be included in the search for new knowledge because they control access to an essential ingredient—organizational data. Mutual understanding among managers, teachers, and researchers will facilitate the development of a relevant body of knowledge.

An Emerging Discipline

Organization theory is relatively new and evolving. Its subject matter is extremely complex and fraught with compounding variables stemming from the nature of man and his intricate relationships with his fellow men. While many give lip service to the interdisciplinary nature of organization science, the satisfactory mingling of the separate disciplines is certainly not an accomplished fact. There is much evidence of integration, yet many difficulties remain. Robinson describes the problem as follows:

> The significant task ahead is that the mix of organizational science, its constituent scientific elements, must now be masterfully and tactfully drawn together. And this may not be easy. Economists fret and chafe over the weak, unquantifiable sociological variables that spoil the rigor and symmetry of their models. The psychologists are outraged when the subtleties of motivational influences are belittled. Hard core disciplinarians are simply not easily persuaded of the significance of integrating their special knowledge with that of a different scientific specialist, however much they may grumble about the need for improvement in the other's field. Consequently, one of the essential steps that must be followed in the recipe for our new organization science is coaxing the necessary ingredients to blend wholesomely with one another. Without this process, even the right ingredients will not produce the desired outcome. One will dominate the others, and the flavor of some will be lost altogether.[15]

This is an exciting challenge. Development of a body of knowledge and a scientific discipline relevant to organizations is an extremely important endeavor in the overall societal system. Providing the scientific basis for management technology involves us in man's most pervasive activity. Man is a social animal who tends to organize. He manages organizational activity toward objective accomplishment. The astute development of organization theory can have a tremendous impact on society. Because of the pervasiveness and importance of organizations, even slight improvements in effectiveness and efficiency can have far-reaching consequences.

INCREASING COMPLEXITY OF ORGANIZATIONS

Organizations have become increasingly complex over time. The trend begins with the evolution of organisms, of which man is the most complex example.

> There is a characteristic trend in this development—the units are bound to become more and more complicated. They lose the simple features they had at the beginning of life's history. Most changes are steps toward higher differentiation, toward change of nucleic acids which produce more proteins with more specialized tasks. Hence from the moment when units exist that can form replicas of themselves, a development toward more and more complicated units is bound to start. Better adaptation to external conditions leads almost always to more complicated units.[16]

Haskins describes this phenomenon by saying: "Paleontological research has yielded dramatic evidence that in the evolutionary development of living matter there has been an unmistakable broad trend from the simple to the complex. Both the variety of life on earth and the intricacy of its organization reflect and emphasize this trend."[17] The essential element in this trend is that of specialization. It allows organisms a means of dividing up the work in performing each subpart more effectively and efficiently. However, specialization requires integration of activities in pursuit of identified goals. It is a process of analysis and synthesis; that is, it breaks up the task into parts according to specialized activities and integrates those activities toward objective accomplishment. The tendency to integrate is a "companion feature" of specialization. Haskins states: "What may be called a drive to integration is another great feature of the social continent which deeply affects organic and social evolution. It is the tendency both of organisms and of certain kinds of societies, evolving under the pressure of natural selection, to become more and more close-knit entities, and of their parts to become increasingly specialized and dependent upon the whole."[18]

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[15] Robinson, op. cit., p. 5.
[16] Weisskopf, op. cit., p. 251.

These same trends are evident in organizations. More specialization requires increasingly sophisticated methods of coordination and integration. Tendencies toward both cooperation and conflict are evident among organizational participants. The question of individualism versus conformism is relevant and important. In short, many forces are at work in organizations—some divisive, some cohesive, all somewhat confounding. These factors have led to increasing complexity within organizations and hence have made the job of management more and more difficult.

Size of Organizations

For small face-to-face groups in a rather stable environment, the job of management is relatively straightforward. Once a particular approach is found effective, it can be applied indefinitely with likely success. As groups grow in size, face-to-face relationships become impossible; the number of interrelationships among organizational participants increases dramatically; and managers cannot hope to maintain personal contact throughout the organization.

Trends toward increased organizational size are not likely to taper off. The population continues to grow. Thus sheer numbers of people will provide a complex environment for society and its subunits. Boulding suggests, for example, "At present rates of population expansion, it will take only a little over 300 years for the whole land area of the world to become a single city. It takes only 700 or 800 years before we have standing room only over the whole face of the planet."[19] The trend from a sparse, rural population to urban concentrations has been in effect for many centuries. Crises of many kinds—housing, crime, transit, air pollution—are evident in large metropolitan areas. What if the earth were one giant megalopolis? While the 700- to 800-year time span involved may seem unimportant to us today, it is certainly an extremely short period of time compared to the history of mankind. It indicates the accelerating nature of environmental developments which pose organizational and managerial problems.

Science and Technology

Another development which evidences an accelerating trend is that of scientific knowledge and its implication for society in the form of technological developments. Again, we might gain perspective by referring to developments throughout the evolution of mankind. If man's time on earth is taken as 240,000 years and if we imagine that those years take place in one hour, he spent fifty-five minutes of that time in Paleolithic (Old Stone Age) culture.

> Five minutes ago, he embarked upon the neolithic culture. the cultivation of plants, the domestication of animals, the making of pottery, weaving, and the use of the bow and arrow; 3½ minutes ago he began the working of copper; 2½ minutes ago he began to mold bronze; 2 minutes ago he learned to smelt iron; ¼ of a minute ago he learned printing; 5 seconds ago the Industrial Revolution began; 3⅓ seconds ago he learned to apply electricity; and the time he has had the automobile is less than the interval between the ticks of a watch, i.e., less than one second.[20]

With the industrial revolution representing only five seconds of an imaginary hourglass, the accelerating nature of technology is apparent. And concerted effort toward organization theory and principles of management is a post-industrial revolution phenomenon. Think of the developments since the automobile was introduced—"less than one second ago." Television, jet airplane travel, birth control pills, and space exploration are examples of science and technology proceeding at an accelerating pace. One recalls the phrase, "If it works it is obsolete."

Developments in science and technology have magnified trends toward specialization. Scientists, researchers, technicians, and other "knowledge workers" are becoming increasingly prevalent in organizations. Integration of their efforts toward organizational accomplishment can be difficult. There may be differences in value systems between scientists and managers. The former may be concerned with the effectiveness of a product or process (i.e., striving for perfection), while the manager may be more interested in efficiency (i.e., cost as related to effectiveness).

Scientific and technological progress have proceeded and are proceeding on a variety of fronts, thus adding to the complexity. Automated information processes are being developed along with automated production processes. Advances in both areas have definite impacts on organizations and hence are important managerial considerations.

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[17] Caryl P. Haskins, *Of Societies and Man*, The Viking Press, Inc., New York, 1960, p. 15.

[18] Ibid., p. 30.

[19] Kenneth E. Boulding, *The Meaning of the 20th Century*, Harper & Row, Publishers, Incorporated, New York, 1965, pp. 124-125.

[20] Wilson D. Wallis, as cited in Charles R. Walker, *Modern Technology and Civilization*, McGraw-Hill Book Company, New York, 1962, p. 10.

Other Considerations

Science and technology are only a part of the picture. The general increase in the education of participants provides a more sophisticated atmosphere in organizations. People are becoming less tractable and more prone to "think for themselves." This trend is also accelerating and provides another confounding variable for management.

An increasing governmental role is another consideration. Organizations must keep tuned to governmental propensities for regulatory action in many areas of interest. The most obvious are economic and defense matters, but the spectrum of influence widens over time. Trends in all the areas of governmental concern—federal, state, and local—provide meaningful background for managerial decision making in organizations.

Findings in the behavioral science disciplines—anthropology, psychology, and sociology—are also coming forth at increasing rates. Although not very old as scientific disciplines go, developments in these areas have been rapid and are accelerating. More and more attention is being devoted to cultural anthropology, industrial psychology, and industrial sociology—topics which are of particular concern to organization theory and management. At this stage there is no clear-cut, well-defined body of knowledge or set of propositions to guide managerial behavior. However, concepts are evolving, and progress is being made. But managers must practice their art while the knowledge underlying it is still developing. This is analogous to the physician who continues to practice while research and development continues in medicine.

Coupled with developments in the sciences (natural, social, and behavioral) is progress in the philosophy of management. In a sense all of us are philosophers because we hold views concerning what *is* or happens in the world as well as what men *ought* to do or seek. Some development can proceed prescriptively via common sense, experience, and reflection. It is more likely, however, that a combination of the experiential approach and inputs from scientific research will round out an individual's philosophy of management.

Acceleration of Confounding Variables

"The hallmark of public administration in this decade is change—swift, incessant, fundamental change."[21] The only thing constant is change. The dynamic interplay of forces in the environment of organizations is evident. Similarly, within organizations the atmosphere is becoming much more complex from the point of view of management. Thus it becomes increasingly important to understand the trends and developments taking place. The pace of change is likely to increase. Therefore managers must better understand the behavior of individuals and organizations in order to be able to predict and ultimately coordinate effort toward objectives. The aim of this book is to contribute to this understanding.

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[21] Brochure describing the focus of the American Society for Public Administration's 1967 National Conference.

KEY CONCEPTS

One approach to solving complex problems is to assume away much of the complexity and then solve a much simpler problem. Theoretically the interim step provides insight into how the more complex problem might be solved. Many introductory texts treat problem solving in this way. However, unless students pursue the subject in later courses, they are left with an oversimplified view of the real world, one which may be more dysfunctional than functional. "A little knowledge is a dangerous thing." We hope to avoid that problem in this book.

Our general purpose will be to understand the increasingly complex nature of organizations in a dynamic environment and the attendant difficult problem-solving task of managers. We may use abstractions and models from time to time but in all cases hope to link them adequately to the real world. Our primary purpose is to recognize and understand the dynamic complexity rather than to simplify the real world in order to develop straightforward cookbook approaches.

Eclectic Approach

Organization theory is eclectic in nature. That is, many disciplines provide bits and pieces which go to make up the total body of knowledge. Its researchers and teachers are distillers and translators of knowledge from basic disciplines. There is a need to integrate the findings from industrial engineering, mathematics, the social sciences, and the behavioral sciences. This process can lead to conceptual developments which provide useful frames of reference for additional research, teaching, and practice.

We are interested in both descriptive findings and normative considerations. There is a great need for empirical research concerning organizations and management. At times there seems to be a tendency in the behavioral sciences toward conducting experimental research in unrealistic settings as a way of emulating the physical sciences. It might be more useful to emulate the zoologists and biologists, whose observation of what *is and happens* in the real world has occupied a considerable amount of time and attention. There is a need to understand clearly how individuals and organizations behave in a variety of circumstances. Once we have a more complete understanding of what *is,* we can begin to consider normative propositions of what managers *ought to do or seek.* Such an approach facilitates the development of conceptual schemes which will provide useful frames of reference for managers in organizations.

Comparative Approach

We are concerned in this book with a wide variety of organizations or institutions and are interested in those propositions which have broad applicability—in business, governmental, medical, educational, religious, military, philanthropic, voluntary, and other types of organizations. Also of interest is diversity, not only in type of institution but in size as well. For the most part, organization theory and management principles have been developed within the context of large organizations. Consideration will be given to the applicability of findings to small- and medium-sized organizations as well.

Although we have not emphasized it to the same degree as institutional comparisons, we will be interested in management and organization theory as it applies across cultures. What findings hold in Japan as well as in the United States or Great Britain? Indeed, are there differences between findings in New Orleans and Seattle? Unless otherwise stated, the material presented will refer primarily to developments in the United States, since (1) most of the research has been carried out in this environment and (2) this is the scope of our familiarity.

Systems Approach

A system is an *organized, unitary whole composed of two or more interdependent parts, components, or subsystems and delineated by identifiable boundaries from its environmental suprasystem.* Systems theory provides one major conceptual scheme of significance to organization theory and management: an approach to analysis and synthesis in a complex and dynamic environment. It considers interrelationships among subsystems as well as interactions between the system and its suprasystem, and also provides a means of understanding synergistic aspects.[22] This conceptual scheme allows us to consider organizations—individuals, small-group dynamics, and large-group phenomena—all within the constraints of an external environmental system. In this context we define an organization as:

1 A *subsystem of its broader environment,* and
2 *Goal-oriented*—people with a purpose; including
3 A *technical subsystem*—people using knowledge, techniques, equipment, and facilities;
4 A *structural subsystem*—people working together on integrated activities;
5 A *psychosocial subsystem*—people in social relationships; and coordinated by
6 A *managerial subsystem*—planning and controlling the overall endeavor.

This conceptual model provides the framework for the book. The supra- and subsystems identified will be discussed in detail as a means of understanding organizations and their management.

Contingency View

Throughout the book we will stress the relationship of organization theory and management practice in specific situations. The contingency view depends on a body of knowledge and research endeavors that focus on interrelationships among key variables and subsystems in organizations. It also emphasizes the role of the manager as a diagnostician, pragmatist, and artist. In terms of the model set forth above we can say that:

> The contingency view of organizations and their management suggests that an organization is a system composed of subsystems and delineated by identifiable boundaries from its environmental suprasystem. The contingency view seeks to understand the interrelationships within and among subsystems as well as between the organization and its environment and to define patterns of relationships or configurations of variables. It emphasizes the multivariate nature of organizations and attempts to understand how organizations operate under varying conditions and in specific circumstances. Contingency views are ultimately directed toward suggesting organizational designs and managerial actions most appropriate for specific situations.[23]

The essence of this view is that there is *no one best way* and that there is a middle ground between "universal principles" and "it all depends." This approach recognizes the complexity involved in managing modern organizations but uses patterns of relationships and/or configurations of subsystems in order to facilitate improved practice.

Structure and Process

Another thread in the book will be the comparison and contrast of structure and process. Much attention in organization theory has been devoted to structural aspects—specialization, hierarchy, span of control, and other similar concepts. These are important considerations in the study of organizations. At the same time, it is necessary to consider organizational processes—how goals are established, how means are developed to accomplish them, and how the system is measured in order to control progress toward objectives. An integral part of this approach is understanding decision-making processes at all levels in the organization. What sort of decisions do individual members make? How do managers make decisions in structuring organizations and in guiding organizational processes toward objectives?

Effectiveness and Efficiency

Another important conceptual theme throughout the study of organization and management is that of effectiveness versus efficiency. In all organizations the question of effectiveness is paramount. Does the organization accomplish or approach the goal established? In business firms, measuring the degree of achievement is possible and

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[22] Synergy: The whole is greater than (or at least different from) the sum of its parts.

[23] Fremont E. Kast and James E. Rosenzweig, *Contingency Views of Organization and Management,* Science Research Associates, Inc., Palo Alto, Calif., 1973, p. ix.

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management: a behavioral approach

1

The transformation of American society since the turn of the century has been breathtaking. We have progressed from a basically agrarian society to a dynamic, industrial society with a higher level of education and standard of living than was ever thought possible. In addition, our scientific and technical advancement staggers the imagination.

This progress has not been without its "seamy side." At a time when we should be rejoicing in a golden age of plenty, we find ourselves wallowing in conflict—conflict between nations, conflict between races, conflict between management and workers, even conflict between neighbors. These problems that we face cannot be solved by scientific and technical skills alone; they will require social skills. Many of our most critical problems are not in the world of *things*, but in the world of *people*. Man's greatest failure has been his inability to secure cooperation and understanding with others. Shortly after World War II, Elton Mayo recognized this problem when he reflected that "the consequences for society of the unbalance between the development of technical and of social skill have been disastrous." [1]

SUCCESSFUL VERSUS UNSUCCESSFUL SCIENCES

In searching for reasons for this unbalance, Mayo suggested that a significant part of the problem might be traced to the difference between what he called "the successful sciences" (i.e., chemistry, physics, and physiology) and "the unsuccessful sciences" (i.e., psychology, sociology, and political science). He labeled the former "successful" because in studying these sciences, both theory and practice are provided. Pure knowledge is limited in value unless it can be applied in real situations. The implication of these profound conclusions is that in learning about chemistry or physics, a student or practitioner is given direct experience in using his new technical skills in the laboratory. But on the other hand, according to Mayo, the unsuccessful sciences

> do not seem to equip students with a single social skill that is usable in ordinary human situations . . . no continuous and direct contact with the social facts is contrived for the student. He learns from books, spending endless hours in libraries; he reconsiders ancient formulae, uncontrolled by the steady development of experimental skill, the equivalent of the clinic or indeed of the laboratory.[2]

change

Early contributions in the behavioral sciences, as Mayo suggests, seemed to provide knowledge without effecting changes in behavior. This book will focus on four levels of change in people: (1) knowledge changes, (2) attitudinal changes, (3) behavior changes, and (4) group or organizational performance changes.[3] The time relationship and the relative difficulty involved in making each of these levels of change are illustrated in Figure 1.1.

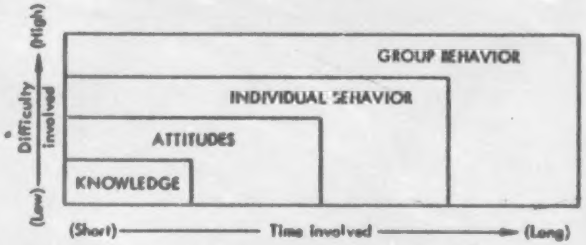
GROUP BEHAVIOR
INDIVIDUAL BEHAVIOR
ATTITUDES
KNOWLEDGE
(Low) Difficulty Involved (High)
(Short) Time Involved (Long)

FIGURE 1.1 Time and difficulty involved in making various changes.

Changes in knowledge are the easiest to make, followed by changes in attitudes. Attitude structures differ from knowledge structures in that they are emotionally charged in a positive or a negative way. Changes in behavior are significantly more difficult and time consuming than either of the two previous levels. But the implementation of group or organizational performance change is perhaps the most difficult and time consuming. Man's destiny may in fact be dependent upon how well the behavioral sciences are able to resolve conflict through understanding and implementing change.

a problem of investment

A major obstacle to the practical application of the behavioral sciences has been the small amount of money allocated by government, business, and other agencies for research in these areas. In the United States only one of every thirty dollars spent on research and development is channeled to behavioral science areas. The remainder is spent for research in the "hard sciences" to be used in developing "things." However, more must be done than spend money on research in the behavioral sciences. Funds are also needed to support the practical application of this research. This is especially important since managers, to be effective, regardless of the type of organization in which they operate, need to develop know-how in human skills in addition to their knowledge of the technical aspects of their jobs.

MANAGEMENT DEFINED

It is obvious after a review of the literature that there are almost as many definitions of management as there are writers in the field. A common thread which appears in these definitions is the manager's concern for accomplishing organizational goals or objectives.[4] We shall define management as *working with and through individuals and groups to accomplish organizational goals.*

This definition, it should be noted, makes no mention of business or industrial organizations. Management, as defined, applies to organizations whether they are businesses, educational institutions, hospitals, political organizations, or even families. To be successful, these organizations require their management personnel to have interpersonal skills. The achievement of organizational objectives through leadership is management. Thus, everyone is a manager in at least certain portions of his life.

distinction between management and leadership

Management and leadership are often thought of as one and the same thing. We feel, however, that there is an important distinction between the two concepts.

In essence leadership is a broader concept than management. Management is thought of as a special kind of leadership in which the accomplishment of organizational goals is paramount. The key difference between the two concepts, therefore, lies in the word *organization.* While leadership also involves working with and through people to accomplish goals, these goals are not necessarily organizational goals. Many times an individual may attempt to accomplish his own personal goals with little concern for the organization's goals. Hence, one may be successful in accomplishing personal goals but may be ineffective in accomplishing organizational goals.

MANAGEMENT PROCESS

The managerial functions of *planning, organizing, motivating,* and *controlling* are considered central to a discussion of management by many authors. These functions are relevant, regardless of the type of organization or level of management with which one is concerned. As Harold Koontz and Cyril O'Donnell have said: "Acting in their managerial capacity, presidents, department heads, foremen, supervisors, college deans, bishops, and heads of governmental agencies all do the same thing." As managers they are all engaged in part in getting things done with and through people. As a manager, each must, at one time or another, carry out all the duties characteristic of managers." [5] Even a well-run household uses these managerial functions, although in many cases they are used intuitively.

Planning involves setting *goals* and *objectives* for the organization and developing "work maps" showing how these goals and objectives are to be accomplished. Once plans have been made, organizing becomes meaningful. This involves bringing together resources—people, capital, and equipment—in the most effective way to accomplish the goals. Organizing, therefore, involves an integration of resources.

Along with planning and organizing, motivating plays a large part in determining the level of performance of employees which, in turn, influences how effectively the organizational goals will be met. Motivating is sometimes included as part of directing along with communicating and leading.

In his research on motivation, William James of Harvard found that hourly employees could maintain their jobs, that is, not be fired, by working at approximately 20 to 30 percent of their ability. His study also showed that employees work at close to 80 to 90 percent of their ability if highly motivated. Both the minimum level at which employees might work and yet keep their jobs and the level at which they could be expected to perform with proper motivation are illustrated in Figure 1.2.

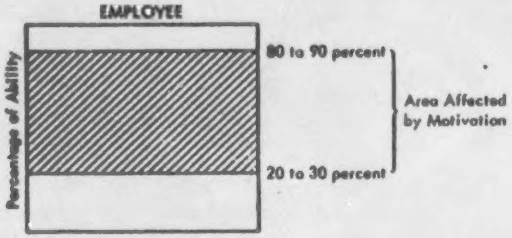

FIGURE 1.2 The potential influence of motivation on performance.

This illustration shows us that if motivation is low, employees' performance will suffer as much as if ability were low. For this reason, motivating is an extremely important function of management.

Another function of management is controlling. This involves feedback of results and follow-up to compare accomplishments with plans and to make appropriate adjustments where outcomes have deviated from expectations.

Even though these management functions are stated separately, and as presented seem to have a specific sequence, one must remember that they are interrelated, as illustrated in Figure 1.3. While these functions are interrelated, at any one time, one or more may be of primary importance.

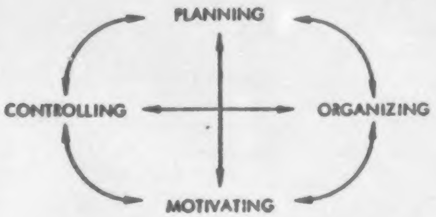

FIGURE 1.3 The process of management.

SKILLS OF A MANAGER

It is generally agreed that there are at least three areas of skill necessary for carrying out the process of management: technical, human, and conceptual.

> *Technical skill*—Ability to use knowledge, methods, techniques, and equipment necessary for the performance of specific tasks acquired from experience, education, and training.
> *Human skill*—Ability and judgment in working with and through people, including an understanding of motivation and an application of effective leadership.
> *Conceptual skill*—Ability to understand the complexities of the overall organization and where one's own operation fits into the organization. This knowledge permits one to act according to the objectives of the total organization rather than only on the basis of the goals and needs of one's own immediate group.[6]

The appropriate mix of these skills varies as an individual advances in management from supervisory to top management positions. This is illustrated in Figure 1.4.

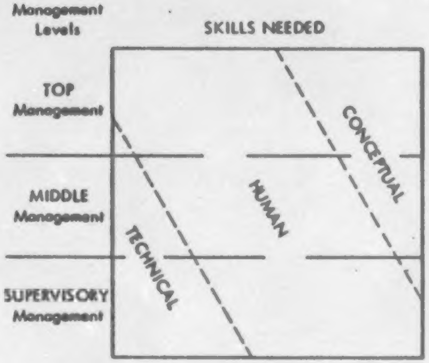

FIGURE 1.4 Management skills necessary at various levels of a business organization.

To be effective less technical skill tends to be needed as one advances from lower to higher levels in the organization, but more and more conceptual skill is necessary. Supervisors at lower levels need considerable technical skill because they are often required to train and develop technicians and other employees in their sections. At the other extreme, executives in a business organization do not need to know how to perform all the specific tasks at the operational level. However, they should be able to see how all these functions are interrelated in accomplishing the goals of the total organization.

While the amount of technical and conceptual skills needed at these different levels of management varies, *the common denominator that appears to be crucial at all levels is human skill.*

emphasis on human skills

The emphasis on human skills was considered important in the past, but it is of primary importance today. For example, one of the great entrepreneurs, John D. Rockefeller, stated: "I will pay more for the ability to deal with people than any other ability under the sun."[7] These words of Rockefeller are often echoed. According to a report by the American Management Association, an overwhelming majority of the two hundred managers who participated in a survey agreed that the most important single skill of an executive is his ability to get along with people.[8] In this survey, management rated this ability more vital than intelligence, decisiveness, knowledge, or job skills.

Since human skill involves working with and through other people, the main concern of this book will be to help the manager understand why people behave as they do and to increase his effectiveness in predicting future behavior and in directing, changing, and controlling behavior. Our intention is to provide a conceptual framework by which the reader can apply conclusions of the behavioral sciences while working with people in his own unique environment.

NOTES

1. Elton Mayo, *The Social Problems of an Industrial Civilization* (Boston: Harvard Business School, 1945), p. 23.
2. *Ibid.*, p. 20.
3. R. J. House discusses similar concepts in *Management Development: Design, Implementation and Evaluation* (Ann Arbor: Bureau of Industrial Relations, University of Michigan, 1967).
4. See as examples, Harold Koontz and Cyril O'Donnell, *Principles of Management*, 4th ed. (New York: McGraw-Hill Book Company, 1968); and William H. Newman, Charles E. Summer, and E. Kirby Warren, *The Process of Management* (Englewood Cliffs, N. J.: Prentice-Hall, Inc., 1967).
5. Koontz and O'Donnell, *Principles of Management*, p. 54.

6. These descriptions were adapted from a classification developed by Robert L. Katz, "Skills of an Effective Administrator," *Harvard Business Review*, January-February 1955, pp. 33–42.
7. John D. Rockefeller as quoted in Garret L. Bergen and William V. Haney, *Organizational Relations and Management Action* (New York: McGraw-Hill Book Company, 1966), p. 3.
8. Data as reported in Bergen and Haney, *Organizational Relations and Management Action*.

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Influencing Behavior: Motivation, Learning, and Leadership

It may appear to be dwelling on the obvious to assert that the individual and individual behavior, in particular, are the basic building blocks of an organization. Nevertheless, this is an extremely important reminder, which suggests quite clearly the substance to be considered early in this book.

Neither the causes nor the effects of individual behavior in organizations are readily observed or easily understood. It would be simpler to understand organizations if people in them behaved only in response to orders from superiors. Very often, as we know from everyday experience, orders are given but ignored or actions are taken when no order has been given at all. Indeed such spontaneous actions are sometimes of great advantage to an organization. This emphasizes the importance of not automatically regarding as undesirable behaviors which do not follow from an order. By doing so we turn attention from merely attempting to find ways to confine individual behavior within certain limits to a more general understanding of the purposes and causes of such behavior.

Frequently behavior is explained in statements such as, "He is behaving in that way because he wants to." That is, we see behavior as purposeful to satisfy desires. As we shall see later in this chapter, there is much truth and utility in this point of view.

People do things to satisfy certain wants, needs, or desires, but this is not the complete explanation. There are many wants of man which do not lead to actions. Man may wish to fly, but he does not simply flap his arms or, for that matter, just glue feathers to his arms. Until our own era, wanting to fly was, for all practical purposes, not to be

satisfied through any action. Man's physical form and lack of technology kept him from flight. Behavior is thus constrained in numerous ways; to understand it we must understand some of the principal limitations.

It is easy to fall into the trap of discussing individual behavior by considering the individual in isolation. Analysis of the "Robinson Crusoe" type can be very popular, but its utility is limited in the study of organization. One reason is that man's behavior occurs in an environment shared by other individuals. Much of his behavior is the response to actions and other things initiated by them. Furthermore, as we shall see later in this chapter, many inner needs can be satisfied only through association with other individuals.

We have been considering how to view individual behavior in order to give perspective to this chapter and its place in the book. Concerned with understanding how individual behavior is influenced in an interpersonal setting, let us begin by considering an elementary model of individual behavior. This model will gradually be extended and amplified throughout the chapter. Since it is hardly possible to cover all aspects of individual behavior, we shall cover those elements that seem most essential to understanding such behavior in the particular type of environment known as an organization.

BASIC ELEMENTS THAT INFLUENCE INDIVIDUAL BEHAVIOR

Current behavioral thinking rests on a number of assumptions. The first is that the behavior of any individual is not a random or chance thing. People do not behave in a particular way just because it is their nature to do so. Instead, it is assumed that the behavior is caused, that every time an individual acts, there is something which produces his action. A second assumption is that behavior is purposeful or goal-directed. These basic assumptions are shown in Figure 2.1. A cause, or as it is commonly called, a *stimulus*, initiates behavior on the part of the individual. The behavior is intended to accomplish an objective which in turn will satisfy, or at least reduce, some need. A simple illustration is a person who, feeling thirst on seeing a drinking fountain (stimulus), walks to the fountain (behavior), takes a drink of water (objective), and quenches his thirst (need satisfaction). To complete the cycle with the need satisfied, the drinking fountain is no longer a stimulus of sufficient influence or effect to lead to behavior.

Like many models used to aid our thinking about the world around

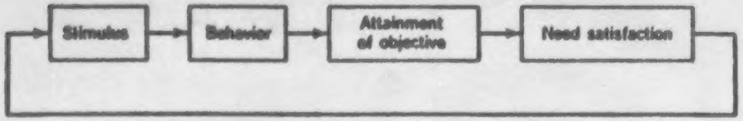

Figure 2.1. Basic assumptions of behavior.

us, this one is very simple. Its simplicity, in fact, may beguile us into thinking that behavior is easily understood. Nothing could be more misleading. Human behavior is extremely complex. This simple model does, however, present a basic framework and orientation helpful in the development of a scheme of analysis for understanding some of the important aspects of behavior.

The Evoked Set

Stimuli may come from inside a person, but frequently come from outside. In industry a common stimulus is an order from a superior. Let us assume that our superior orders us to fly the company airplane to Cincinnati. We can do it, for example, only if we can draw on our knowledge of how to fly an airplane. If we lack this ability, the order is hardly likely to result in the anticipated behavior. In short, to fill the order from a superior, we must be able to draw from memory learned *programs* for performing the action desired.

The importance of learning in determining behavior cannot be overstressed. Sometimes we may receive a stimulus, such as an order, and have to develop or learn as we go along the steps necessary to execute it. But more often we draw on things we already know. We know a great many things. Some are fairly formal skills, such as how to fly an airplane. Some of the things we learn concern the world around us. For example, if we want food, we do not merely walk into a store and take it. We must first pay for it, which means we must have money.

We often fail to appreciate the vast number of different things we have learned because we use only a small portion of them at any one time. As we use our knowledge of flying an airplane, we are not conscious of, or for that matter even concerned about, how to play bridge. Whereas we may use only a small portion of total knowledge at any one time, all our behavior is influenced by the total fund of knowledge acquired through life. How we behave depends to no small degree on what we know; if different people possess different bodies of knowledge, they are, of course, quite likely to behave differently. Understanding individual behavior thus depends on understanding what a person knows and particularly what portion of his knowledge is drawn on at any one time.

Needless to say, there is no sharp distinction between these "active" (or, as we shall call them, *evoked sets* of knowledge stored in memory) and "passive" elements of our memory content. These are ideal forms or descriptions intended to permit easier discussion of something which in reality must be a series of continual shadings.

The evoked and unevoked elements, that is, total memory, result from *learning*, in which we all engage continuously. This total memory content changes relatively slowly through learning processes. The evoked portions of memory can be changed rather rapidly. At one moment they can be sections involved with driving an automobile but once an individual parks and goes into a store, they quickly change to those portions concerned with the things he came to purchase. The evoked content is a result of an *evoking process* triggered by stimuli.

The first of these processes, learning, is covered in a number of different ways throughout the book. The second process, evoking, is handled, in part, in Chapter 3 on Perception. Thus far we have covered a number of important concepts:

1. That all of us have a fund of knowledge which we collect continuously through our lives.
2. That at any one time a relatively small portion of this knowledge is drawn forth or evoked.
3. That it is only the evoked sets drawn from memory which are used to determine or influence behavior at a given time.[1]

Motivation to Perform

Let us return to the hypothetical situation mentioned in the preceding section. Presuming that we are accomplished pilots, we still may not accept our superior's orders, because we may decide that the weather is so bad there is some danger in being able to fly safely. Therefore, we are faced with these alternatives: to accept the order and fly or to turn it down and not fly. Knowing that our superior is not given to having his orders ignored or disobeyed, we may fully expect that if we do not comply that we shall be fired, be without our next pay check, but we shall also be alive. On the other hand, if we

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[1] James G. March and Herbert A. Simon, *Organizations*, New York, John Wiley, 1958, Chapter 3.

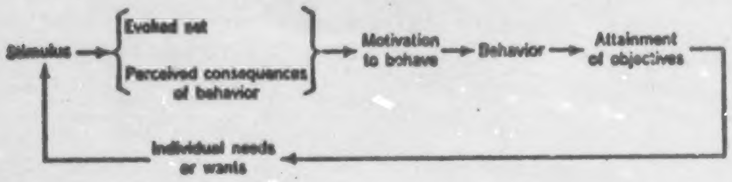

Figure 2.2. Influence on behavior.

fly, we may get through to Cincinnati and get our pay check or we may be dead.

What action we take now will depend not only on the fact that we can fly and on our boss's order but also on additional factors. We resolve this dilemma and make the choice between the alternatives by taking several things into account. First, we consider the weight we place on the alternatives: How great is the certainty of a crash? How certain are we that our boss will fire us? Second, our own needs and objectives are taken into account. Do we very much want the money? Do we enjoy the excitement of a dangerous flight? Do we no longer need the job or the money because we have already agreed to take another one next week?

The illustration reveals several more important elements which influence behavior in a situation. There are (1) the alternatives open to us, (2) the consequences we perceive for these alternatives, and (3) our own individual needs or goals. For convenience sake, let us say that the evoked set, the perceived consequences of alternatives, and our own needs or wants produce what can be called our *motivation to behave.*[2]

We can now extend the model of behavior as follows (see Figure 2.2). A stimulus leads us to an evoked set which, combined with the perceived consequences of alternatives and individual needs or wants, produces a motivation to behave. This in turn leads to behavior intended to accomplish some objective which, when achieved, will satisfy some of our needs or wants. The satisfaction of a need leads to a reduction in the effect or a reinterpretation of the stimulus.

The individual needs of a person play a central role in this model. To begin with, whether a stimulus will have sufficient effect to set off the chain of events leading to behavior depends on these needs. The needs also influence the form of behavior taken in response to an external stimulus. Last, it is to their satisfaction or reduction that the whole process is directed. It is important, therefore, to have a better understanding of human needs. This will be our concern in the next few sections.

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[2] *Ibid.*, pp. 52–53.

CLASSES OF HUMAN NEEDS

One thing most theories of motivation recognize early is that a person can have a great many specific needs. To identify all of them would be an enormous undertaking even if this were possible. There is also no guarantee that even if the specific needs of one individual were clearly identified, they would be similar to those of another person. To avoid this cumbersome problem, we usually discuss classes or categories of needs and assume that these classes or groups of needs are common to all people.

Physiological Needs[3]

Man acts to satisfy many physiological needs. Thirst propels him to seek water or other liquid. Hunger propels him to find food. This concept could be extended easily to include the need for shelter, clothing, rest, exercise, and many other conveniences. These are things man needs to preserve life in its most fundamental form.

Safety Needs

Man can feel insecure in a number of ways. He may be concerned that things important to him will be removed or damaged. In business we are frequently faced with a person's concern about losing his job and by losing the job also losing his income, his status, and prestige. The list could be extended endlessly, but in each case we find man attempting to do something to increase his security. He may work hard to preserve his job. He may take out automobile insurance to protect himself against excessive lawsuits.

Safety needs, however, include other elements and connotations. In varying degrees we are dependent on others. For promotions and wage increases, we are dependent on our superior to recognize our abilities and to carry enough weight in the organization to make his recommendations effective. When we fly in an airplane our lives may depend on how well a mechanic did his job or on the pilot's skill in an unforeseen emergency. We are so enmeshed with the activities and capabilities of others that almost everything in our daily lives, from such simple matters as receiving the daily paper at the doorstep to the important issues of advancing our careers and preserving our lives, depends in some way on others. No wonder we are often concerned about the capabilities and intentions of those around us. In these dependent relationships a person may not actually be threatened but he is in a position where he could be. Hence, in understanding a person's drive to obtain safety, we should look at not only the obvious and existent dangers but also to potential dangers and threats.

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[3] This concept of motivation was developed by A. H. Maslow, *Motivation and Personality*, New York, Harper, 1954, and has been restated, elaborated, and extended by a number of other writers. See, for example, Douglas McGregor, *The Human Side of Enterprise*, New York, McGraw-Hill, 1960; and Louis B. Barnes, *Organizational Systems and Engineering Groups: A Comparative Study of Two Technical Groups in Industry*, Boston, Division of Research, Harvard Business School, 1960.

Belonging or Membership Needs

Barring a few unusual cases such as hermits, man is a social animal in continuous contact with his fellow man. This is not only because there are a lot of people around him, and he runs into them just as he does into chairs and doors, but also because he enjoys and needs these associations. To gain them a man must be accepted by others. This usually takes the form of wanting to feel that we belong to some group of people, that there are individuals with whom we can have friendships and affectionate relations. Men sometimes will go to extremes to win acceptance by others. Furthermore, if the opportunity for association with other people is reduced, men often take vigorous action against the obstacle to social intercourse.

Self-esteem

This category concerns the needs for self-respect, self-confidence, a feeling of personal worth, and a feeling of being a unique individual. This is a man's inner appreciation of himself, quite divorced from an opinions others may have. It is a measure of him as an individual in personal private terms.

Recognition or Public Esteem

On the surface, this class of needs appears closely related to self-esteem. Its emphasis is on how others regard a person and his reputation, on how well he is appreciated, and on his recognized uniqueness, his position, or his status. These are the measures others make of the individual and the place in which they see him. Although both this and other needs can be considered as involved with a person's ego, they seem to draw on a different basis, thus making a distinction between them necessary.

Self-actualization

With this category of needs we recognize the fact that people have a drive to express themselves or to develop themselves fully. We hear, or perhaps know, of painters, musicians, or poets who will say, "I do not care what other people think of what I do. I *must* write (or paint, or play) in order to feel I'm living a full life." Sometimes we are inclined to think of this as idle bombast or romantic nonsense; sometimes perhaps it is. But often we recognize in others, as well as in ourselves, a need to develop intrinsic capabilities which lead people to seek situations that can utilize their potential. This, if you want, is a search for something new to do, a chance to be creative, a chance to do something identifiable with a person.

ACTIVATION OF NEEDS

The recognition that man will act to satisfy human needs and that it is useful to conceive of these needs as falling into broad categories is an important and useful beginning to the understanding of behavior. Unfortunately, unless we have access to a person's inner self, which is usually not the case, we probably encounter considerable difficulty in attempting to analyze what lies behind a particular set of actions or in predicting what type of actions will likely develop in a particular situation. Knowing that there are categories and needs which may motivate a person does not tell us which category is involved in any particular instance. We may see a teenage boy running down the street. Is he running to avoid being caught for some prank (safety need)? Is he running because he is training for a high school track meet in which he hopes to star in order to gain local popularity (recognition need)? We really do not know. It might be almost any one of the classes of needs already discussed. Also, we are not sure whether there is just one or several classes of needs involved at the same time.

To help understand behavior we can turn to some guides concerning the needs likely to be involved in a given type of situation. It is suggested[4] that we conceive of the classes of needs as arranged in a hierarchy with physiological needs at the bottom and self-actualization needs at the top. We may assume that at any time only one class of needs will be in effect, or activated, while the others lie dormant, meaning that they have either been activated and are presently satiated or that they are not yet activated. A further assumption is that the needs will become activated in reverse hierarchical order, physiological needs coming first. When they are sated, the next level of needs—safety needs—will be activated; and when these are satiated, social needs will become activated, and so on up the hierarchy.

By way of illustration, a person who is starving to death is hardly likely to be interested in satisfying his needs for recognition. In fact, he may willingly do things that diminish his public recognition to fill his yearning for food. Nor may he be very interested in personal safety and instead may take hazardous risks to obtain the food he desires. Once he obtains food, however, his thoughts may well turn to security matters, such as how to assure himself of a continuing supply of food. After this has been accomplished he may become concerned about getting along with his fellow man and receiving some recognition.

A scheme, such as a hierarchy of needs with only one category at a time activated, offers a distinct advantage. We may often be able to determine which class of needs has been satisfied and which ones remain satisfied.

Although this particular hierarchical arrangement has proved useful, it does not hold for all people. Conceivably there may be some individuals for whom an entirely different arrangement exists. For some people the need for self-expression may be so strong that it comes before almost everything else except perhaps physiological needs. The important elements of this concept are that needs can be conceived of in a hierarchical order, only one need at a time being activated, and that satiation of a need at a lower level generates the next higher one in the scale.

Needless to say, the separation between classes of needs is not as complete as this brief explanation implies. There is considerable overlap between categories, and we should really conceive of the hierarchy as consisting of some highly activated categories, some temporarily satiated ones, and others much less activated, though unsatiated.

Furthermore, safety needs fall into a unique category. Indeed, every one of the other classes of needs can be the object of concern, as each class can be exposed to danger or threatened. Hence, to consider safety needs as always being involved with protecting the source or the means by which we satisfy physiological needs, such as food, would be erroneous. We can be just as concerned with protecting our good name from danger and preserving the right to self-expression. Hence, we must conceive of safety needs as having a unique position compared to the other classes of needs, more or less paralleling, or underlying all of them.[5]

This preeminence of safety needs crops up many times. One illustration observed in industry concerns high-skilled production workers. They may establish work methods which permit them to meet their production quotas in less than a full working day. They can spend their free time in many ways. Not uncommonly they spend time doing their job carefully so that even on jobs where scrap might be expected they are able to turn in an exceptionally low scrap rate and have almost all their units meet with approval. In short, they use the extra time to supply additional evidence that they are truly the most skilled persons around. Informal work restrictions imposed by employees do not, as is often expected, come about because people are lazy or unwilling to work. Instead the reasons often lie in some attempt to increase their security.

USE OF NEED HIERARCHY CONCEPT TO ANALYZE ORGANIZATION PROBLEMS

Maslow's idea of a need hierarchy has been useful not only in the ways referred to in the preceding paragraphs but also in clearing up many confusing points about motivation. At one time it was not uncommon to find people supposing that the more of a person's needs were satisfied, the harder he would work and, therefore, the more productive he would be. Thus, the person who satisfied three classes of needs would enjoy his work more and be more productive than the person satisfying only one. Sometimes events appear to support this contention but other times the reverse seems to be true. If we consider all needs to be of the same magnitude and activated at the same time, such inconsistencies are difficult to understand. With an arrangement in which we can order needs, such apparent inconsistencies can be more readily explained.

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[4] *Maslow, op. cit.*

[5] Barnes, *op. cit.*, pp. 167–168.

High Productivity and Low Morale[6]

To illustrate this concept, let us consider a study made a number of years ago in a large industrial plant where one group of long-service employees were found to have low morale, but at the same time were consistently meeting rather high production standards. The group of employees also had a relatively low rate of turnover. Here employee attitudes, productivity, and turnover were falling into what would seem to be a pattern inconsistent with the superficial understanding of motivation theory mentioned previously.

Investigation found that management had a rather firm production orientation. Workers were informed that they should either produce according to management standards or they would be fired. It was also learned that the employees had worked for the company for considerable lengths of time. The jobs did not require a high level of skill, and took little time to learn. These skills were not used by any other employer in the immediate community. In fact, many of these employees had special problems which made it difficult for them to find alternate employment. Loss of a job, therefore, meant either no job at all, accepting far less remunerative work in the same community, or disrupting the whole family to move to a new community.

In terms of a need hierarchy these men had their physiological needs largely satisfied. Their saftey needs for job security were highly activated. Furthermore, the one known way to insure the perpetuation of their jobs was to produce in accordance with standards established by management. This being the case, they worked hard at the one thing that quite clearly would enable them to continue their much desired employment.[7]

Apathy and Blocked Paths of Satisfaction

We have been considering a situation where satisfaction of one need activates another whose satisfaction is not complete or assured. Another situation is one in which the next need to be activated has no chance of being satisfied; that is, the path to its satisfaction is blocked. Such a case is reported by Guest in his study of assembly-line workers. He found many employees in assembly-line work where, owing to the distance separating the positions, the fact that the workers had to walk along with the work, noise, supervision, and other factors, that it was very difficult for them to interact and, therefore, form groups of any meaning and stability. In this sense it was extraordinarily difficult to satisfy a need for belonging and membership. In interviews off the job the workers were quite frank in stating that the work was unpleasant because of the lack of social contact, and yet they were reluctant to leave. As one worker expressed it in an interview:

> I'll tell you honest. I'm scared to leave. I'm afraid to take the gamble on the outside. I'm not staying because I want to. You see, I'm getting good pay. We live according to the pay I get. It would be tough to change the way we live. With the cost of living what it is, it is too much of a gamble. Then there's another thing. I got good seniority. I take another job and I start from scratch, comes a depression or something and I'm the first to get knocked off. Also they got a pension plan. I'm thirty-seven. I'd lose that. Of course, the joker in the pension plan is that most guys out there chasing the line probably won't live 'til sixty-five. So they're trapped. You get what I mean?[8]

Let us review this worker's situation. He cannot get a better job outside. Second, what he has is secure through seniority and other provisions. His physiological and safety needs are well taken care of, at least as far as job security is concerned. Higher needs, when activated, have their possible satisfaction blocked. The layout, noise, and other features prohibit him from having good social interaction. Interaction with him is pretty limited to his partner and even there he says, "You don't have time for any real conversation."[9] With some needs satisfied and others activated but denied satisfaction this worker is, in his own words, "trapped." What happens to him? One answer comes from the man's wife:

> . . . he comes home at night, plops in a chair, and just sits for about fifteen minutes. I don't know much about what he does at the plant, but it does something to him . . . I wonder whether

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[6] This analysis draws heavily upon a proposal made by James V. Clark in "Motivation in Work Groups: A Tentative View," *Human Organization*, Winter, 19, 1960-61, pp. 199–208.

[7] See William J. Goode and Irving Fowler, "Incentive Factors in a Low Morale Plant," *American Sociological Review*, 14, 1949, 618–624.

[8] Robert H. Guest, "Men and Machines: An Assembly Line Worker Looks at His Job," *Personnel*, 31, 1955, p. 500.

[9] *Ibid.*, p. 499.

> these (things he buys with pay such as TV) are more important to us than having Joe get all nervous and tensed up. He snaps at the kids and snaps at me—but he doesn't mean it.[10]

One answer is that he becomes tense, frustrated, has a feeling of being worn out. He reveals a different reaction in regard to his work. "I don't like to work on the line—no man likes to work on a moving line. You can't beat the machine—sometimes the line breaks down. When it does, we all yell, 'Whoopee!' "[11] Perhaps the most generous adjective to use here is that he is "apathetic" about things on which he works and the company that employs him.

THE MECHANICS OF NEED SATISFACTION

Roundaboutness of Need Satisfaction

In this general model behavior is directed toward an objective which in turn satisfies a need. This apparently cumbersome arrangement is necessary to recognize that needs are seldom satisfied directly. Instead, there is usually a chain of events which culminates in satisfying a particular need. For example, if someone is thirsty, he may be able to get water directly. On the other hand, to satisfy a need for water he may need access to the supply, such as permission to cross another party's property or a bucket to lower within the well. Only when all these things have been provided and used may the need for water be satisfied.

An important objective then for the man wanting water is to get the permission of the other party to walk across his property. His immediate behavior directed to this end may not have any apparent relation to water. Knowing the other person's susceptibility to flattery, he may be spending most of the time talking about this man's fine crops or how shrewd he was in a recent business deal. Only when he feels that he has sufficiently softened the other party may he casually ask, "Oh, by the way, might I get a bucket of water from your well?" We could perhaps summarize this section as follows: Satisfying human needs is frequently accomplished through roundabout paths in which we try to accomplish or realize objectives which function as *means* to need satisfaction.

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[10] *Ibid.*, p. 500.
[11] *Ibid.*, p. 499.

LEADERSHIP IN AN ORGANIZATIONAL SETTING

Common Views of Leadership

Everyone is familiar with leaders and leadership situations. They appear in the companies in which we work, in the schools in which we enroll, in football teams, neighborhood clubs, churches, and in countless other settings. Considering how common are manifestations of leadership in our daily lives, it is rather surprising to find how little we actually know about it and, for that matter, how varied are the interpretations of the word and the phenomenon.

To some people leadership is the exercise of power or, we might say, the skillful use of fear. The leader or the boss, in effect, says to his followers, "You do as I say or else I will punish you." For example, the foreman can say, "You do as I say or you will be fired." The sergeant in the army says, "You do as I say or I will put you on trial for disobedience and perhaps mutiny." This approach, the exercise of power, has as its main concept the punishment of subordinates for noncompliance.

There are others who take a different view of leadership and say really it can be better described as sort of an exchange situation. The leader says, in essence, to his subordinates, "If you do thus and so, I will give you something." For example, the foreman can say, "If you produce ten per cent over standard rate of output, I will give you a ten per cent bonus in your pay."

Mutual Dependency of Leaders and Followers

These commonly held interpretations describe some aspects of leadership found in real life. However, these interpretations suffer from a number of serious weaknesses. (a) They are far too simple. (b) They do not seem adequate to explain leadership in many situations as, for example, when jobs are plentiful and, hence, the threat of being fired is far less potent. (c) Last, their orientation camouflages a very important point. They accentuate the dependence of the subordinate on the boss which is, of course, quite realistic as far as it goes. However, such interpretations ignore the other side of the issue, namely, the superior's dependence on his subordinates. His success will be measured by the performance of his subordinates or, more accurately, by the performance of his unit. The superior does nothing in which the organization is directly interested. It is only his organizational unit which produces something really meaningful to the overall organization. Leadership is a mutually dependent relationship, and the skillful leader never loses sight of this.

The Leader and the Means of Need Satisfaction

Earlier we noted that satisfaction of a need often comes through a rather lengthy, roundabout sequence of events. In leading, a superior is often influential in determining whether a person will be able to achieve his objective in order to satisfy his needs. We recognize the control a superior may have over a man's wage, which he presumably can use to satisfy many needs. What sometimes is less obvious is that a superior's influence over the means a person requires ultimately to satisfy his needs extends over far more things than wages, and is manifest in many subtle ways. For example, by controlling the assignment of work the superior influences the type of experience a person will have. This may directly influence the skills the person can develop, and thereby control the possibility of future promotions or pay increases.

Let us make explicit a point which may have been obscured. We have been talking largely of the objective of earning money, usually referring to how this can satisfy physiological needs. Many other needs can be satisfied through the work situation. The functional view of the superior's or leader's role applies to all relevant needs.

Unfortunately, neither the subtlety of the superior's influence on the means of individual need satisfaction nor the range of human needs that must be taken into account in an organizational setting are always appreciated by those in leadership positions. A leader who honestly believes that people work primarily for money, and that the company is primarily interested in production, may be innocently oblivious to the problems he is causing his subordinates, himself, and his organization. He may, for example, adopt a leadership style which attempts to prohibit any conversation on the job. People are to stay in their work places and work. Prohibiting interaction will quite obviously cut down, and perhaps eliminate, the possibility of satisfying any of the social needs of which we have spoken. Yet these may be the very needs activated. The superior in this case may be surprised and disappointed with the apparent apathy of his workers, knowing that they are making above average wages for their type of work. A common interpretation made by superiors of this sort in this situation is that the subordinates are lazy and shiftless and not appreciative of the fine advantages open to them. They, therefore, in all likelihood, redouble their efforts to keep workers on the job and to force higher production, thereby compounding the very causes of their problem.

These considerations help us understand more adequately the number of ways in which a superior's actions influence a subordinate's behavior. Returning to our influence model (Figure 2.2), we can see that many of the superior's actions can influence the consequences individuals see for various courses of action. For example, a person who would like to socialize might think about walking over to one of his fellow workers to have a conversation. Then he recalls the superior has warned that anyone who does this will suffer disciplinary actions. Therefore, the person will probably discount this alternative. A second more cumbersome alternative is to signal the person to whom he would like to speak to go out to the restroom and meet him there for the desired conversation. In spite of the drawbacks this alternative does not have the potential hazards and probably will be chosen.

The Leader's Role in the Organization

In an organization, such as a business concern, a person is appointed to a managerial role with the obligation of running a department or subunit of the organization in such a way that this unit renders a service or in some way delivers something useful to the larger organization. The manager of an electrical plating department is expected to have his department deliver plated parts on time and within the cost requirements of the company. His success as a manager in organizational terms will be measured largely by how well he operates his department to perform this service and to deliver these products to other parts of the organization.

At first glance it might appear that the organizational manager is in an incompatible position. On one hand, he must see that the behavior of his subordinates culminates in satisfying organizational objectives. On the other, he is concerned with facilitating the means by which subordinates satisfy their needs. A foreman may ask, "How can I let people working for me have conversations among themselves so they can satisfy some of their social needs, when in doing so they must leave their work positions and, therefore, cannot be working?" It seems to many people impossible to satisfy both the superior's expectations and the subordinates' needs.

Fortunately, this either/or dichotomy is not an accurate reflection of most organizational situations. It is a challenge, but certainly not an impossibility for a superior to arrange things so that acts or behavior by his subordinates can lead to the satisfaction of their needs at the same time that they contribute to a purpose that is meaningful to the overall organization. This possibility has long been recognized in the existence of incentive programs, which attempt to do as much by giving bonuses for higher production. The problem has been that in applying this concept the process usually has stopped at monetary incentives. However, when superiors are able to arrange things so that one act or behavior can satisfy both conditions, they will, in all likelihood, have developed productive units.

To arrange things in this manner it seems that the superior would have to know both the technical aspects of productivity and the psychological needs of his subordinates. If he examined both areas, he would be better able to arrange the type of situation outlined and have the most productive type of units. This has been found to be the case in an extensive series of studies conducted by the Survey Research Center of the University of Michigan.[12] It has been seen repeatedly that superiors who have an *employee-centered* outlook (in their terms this meant the superior took into account both technical and human aspects of the work situation) were likelier to be identified as managers of more productive units than those identified as *job-centered* supervisors (in terms of the study, a person who looked only at the technical aspects of the job). Figure 2.3 shows typical findings from one of the studies. The point made by these studies is that it is possible for a superior to arrange things so that subordinates can achieve their need satisfaction and at the same time the organization can achieve its ends.

	Number of first-line supervisors who are:	
	Job-centered	Employee-centered
High-producing sections	1	6
Low-producing sections	7	3

Figure 2.3. (From Rensis Likert, *New Patterns of Management*, New York, McGraw-Hill, 1961, p. 7.)

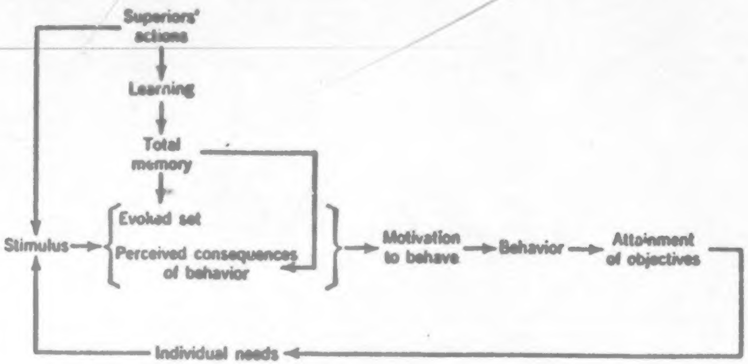

Figure 2.4. Superior's influence on subordinate behavior.

We are now in a position to be much more explicit about the way in which a superior influences the behavior of subordinates (Figure 2.4). The leader can give an order as a stimulus for his subordinates. He can also, through learning, have an influence on the total fund of knowledge a person has and from which the evoked set of stimuli will be drawn. The leader can also influence what the person sees as probable consequences of various courses of action. This learning can occur in both formal and informal ways. Viewed in this fashion it is easy to see that the superior has multiple ways of influencing subordinate behavior.

Organizational Influences on Individual Behavior

All too frequently discussions of satisfaction of subordinates' needs revolve around the relationship between the superior and subordinate. This is obviously an extraordinarily important relationship. However, it is not the only relationship to consider when discussing the need satisfaction of people.

As we have seen, the superior, by adopting a particular style of leadership, might keep people from interacting and thereby satisfying some of their social needs. There are many other things, however, which influence people's opportunity to interact. The layout of work, for example, noise, work methods, and many other conditions either hinder or aid the possibility of people interacting. On the other hand, the opportunity for advancement in many situations is controlled either by seniority or merit tests, which are neither designed nor administered by the immediate supervisor but by a central personnel department. We can list many things about everyday work which are of extreme importance in satisfying the needs of people but over which the immediate supervisor has little or no influence. Instead these aspects of work are controlled by decisions made by technical specialists or higher executives, quite removed from the immediate work situation.

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[12] For an excellent presentation of this research see Rensis Likert, *New Patterns of Management*, New York, McGraw-Hill, 1961.

As a result of organizational developments, the need satisfaction of subordinates has become an organizational as well as a supervisory issue. To say this a little differently, if leadership is considered the process of facilitating the satisfaction of both organizational and individual objectives and needs, this is first an organizational matter and secondarily a matter of the individual skill and activity of the immediate supervisor.

To understand fully this organizational nature of leadership, we must go one step beyond recognizing that certain classes of things are removed from the decision-making province of the individual supervisor. It is necessary to know that all organizations have in them what might be called a style of leadership which permeates the organization and influences the way in which the individual supervisor will use those elements of decision-making still within his jurisdiction. For example, it is not uncommon to hear a senior executive speaking of a subordinate executive saying, "So and so is too easy on his people. He should be more firm." Nor is it difficult to envision the common result of this, the subordinate manager's learning in one way or another of his boss's views and deciding that he had better appear to be "firmer."

Another aspect of this organizational impact on leadership concerns the way subordinates are brought into the decision-making process. We might conceive of a continuum where at one end the superior makes all the decisions, announces them to subordinates, and tells them to execute their portions of these decisions. On the other end of the continuum is the condition where the superior points to a situation and allows the subordinates to define the problem and develop and adopt their own solutions. Needless to say, there are many points between these extremes having a partial involvement of the subordinates in the decision-making activities.

If, because of the factors we have discussed, high executives in an organization decide, consciously or unconsciously, that it is not good for subordinates to get involved in decision-making, this information probably will permeate the organization quickly, and also act as a guide for subordinate managers in choosing their own immediate leadership style. The result will be that the leadership practices within the organization probably will tend to be homogenous. True, there will be individual variation but taken as a whole we cannot but be impressed with the uniformity of leadership practices usually found within organizations.[13]

Thus, we can see that even within the range of factors that we would normally expect the superior to control, in regard to the need satisfaction of subordinates he does not act as a completely free agent. Rather, many of his decisions will be guided or molded by general properties of the organization in which he finds himself. Hence, leadership quite properly has to be considered primarily as an organizational matter.

SUMMARY

This chapter has been concerned with the influences on the behavior of individuals which are seen as the basic components in organizations. The elements considered and their relationships are shown in Figure 2.4. Stimuli evoke a set of factors in the person's memory, which include knowledge of how to do jobs, other stimuli, and perceived consequences of the various options. These factors in conjunction with personal needs and objectives constitute a motivation which may be strong enough to bring the individual to do something. This results in behavior directed toward an objective which, when achieved, reduces the need felt and eliminates the stimulus effect that brought about the action.

Particular attention was given to the needs or wants of individuals, which were roughly divided into two categories: the physiological and the human or psychological. This last group was subdivided into a number of basic categories of psychological needs. These needs are not all activated at the same time. Instead, they are activated in sequential or hierarchical order with the most fundamental or basic need being the first activated. Only when this one is satisfied to a substantial degree does the need next in order become activated.

The leader's action enters the influence process in two primary ways: (1) through the use of stimuli, which brings about an evoked set; and (2) through learning, which influences total memory content.

These are basic concepts which we shall refer to and extend throughout the remaining portion of this book.

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[13] For interesting discussion of how one organization consciously tried to change the style of leadership, see Paul Lawrence, *The Changing of Organizational Behavior Patterns*, Boston, Harvard University, Division of Research, Graduate School of Business Administration, 1958.

Maslow, A.H. "A Theory of Human Motivation," *Psychological Review*, 50:370-396, July 1943. Copyright © 1943 by the American Psychological Association. Reprinted by permission.

A THEORY OF HUMAN MOTIVATION

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I. Introduction

In a previous paper (13) various propositions were presented which would have to be included in any theory of human motivation that could lay claim to being definitive. These conclusions may be briefly summarized as follows:

1. The integrated wholeness of the organism must be one of the foundation stones of motivation theory.
2. The hunger drive (or any other physiological drive) was rejected as a centering point or model for a definitive theory of motivation. Any drive that is somatically based and localizable was shown to be atypical rather than typical in human motivation.
3. Such a theory should stress and center itself upon ultimate or basic goals rather than partial or superficial ones, upon ends rather than means to these ends. Such a stress would imply a more central place for unconscious than for conscious motivations.
4. There are usually available various cultural paths to the same goal. Therefore conscious, specific, local-cultural desires are not as fundamental in motivation theory as the more basic, unconscious goals.
5. Any motivated behavior, either preparatory or consummatory, must be understood to be a channel through which many basic needs may be simultaneously expressed or satisfied. Typically an act has *more* than one motivation.
6. Practically all organismic states are to be understood as motivated and as motivating.
7. Human needs arrange themselves in hierarchies of pre-potency. That is to say, the appearance of one need usually rests on the prior satisfaction of another, more pre-potent need. Man is a perpetually wanting animal. Also no need or drive can be treated as if it were isolated or discrete; every drive is related to the state of satisfaction or dissatisfaction of other drives.
8. *Lists* of drives will get us nowhere for various theoretical and practical reasons. Furthermore any classification of motivations must deal with the problem of levels of specificity or generalization of the motives to be classified.
9. Classifications of motivations must be based upon goals rather than upon instigating drives or motivated behavior.
10. Motivation theory should be human-centered rather than animal-centered.
11. The situation or the field in which the organism reacts must be taken into account but the field alone can rarely serve as an exclusive explanation for behavior. Furthermore the field itself must be interpreted in terms of the organism. Field theory cannot be a substitute for motivation theory.
12. Not only the integration of the organism must be taken into account, but also the possibility of isolated, specific, partial or segmental reactions.

It has since become necessary to add to these another affirmation.

13. Motivation theory is not synonymous with behavior theory. The motivations are only one class of determinants of behavior. While behavior is almost always motivated, it is also almost always biologically, culturally and situationally determined as well.

The present paper is an attempt to formulate a positive theory of motivation which will satisfy these theoretical demands and at the same time conform to the known facts, clinical and observational as well as experimental. It derives most directly, however, from clinical experience. This theory is, I think, in the functionalist tradition of James and Dewey, and is fused with the holism of Wertheimer (19), Goldstein (6), and Gestalt Psychology, and with the dynamicism of Freud (4) and Adler (1). This fusion or synthesis may arbitrarily be called a 'general-dynamic' theory.

It is far easier to perceive and to criticize the aspects in motivation theory than to remedy them. Mostly this is because of the very serious lack of sound data in this area. I conceive this lack of sound facts to be due primarily to the absence of a valid theory of motivation. The present theory then must be considered to be a suggested program or framework for future research and must stand or fall, not so much on facts available or evidence presented, as upon researches yet to be done, researches suggested perhaps, by the questions raised in this paper.

II. The Basic Needs

The 'physiological' needs.—The needs that are usually taken as the starting point for motivation theory are the so-called physiological drives. Two recent lines of research make it necessary to revise our customary notions about these needs, first, the development of the concept of homeostasis, and second, the finding that appetites (preferential choices among foods) are a fairly efficient indication of actual needs or lacks in the body.

Homeostasis refers to the body's automatic efforts to maintain a constant, normal state of the blood stream. Cannon (2) has described this process for (1) the water content of the blood, (2) salt content, (3) sugar content, (4) protein content, (5) fat content, (6) calcium content, (7) oxygen content, (8) constant hydrogen-ion level (acid-base balance) and (9) constant temperature of the blood. Obviously this list can be extended to include other minerals, the hormones, vitamins, etc.

Young in a recent article (21) has summarized the work on appetite in its relation to body needs. If the body lacks some chemical, the individual will tend to develop a specific appetite or partial hunger for that food element.

Thus it seems impossible as well as useless to make any list of fundamental physiological needs for they can come to almost any number one might wish, depending on the degree of specificity of description. We can not identify all physiological needs as homeostatic. That sexual desire, sleepiness, sheer activity and maternal behavior in animals, are homeostatic, has not yet been demonstrated. Furthermore, this list would not include the various sensory pleasures (tastes, smells, tickling, stroking) which are probably physiological and which may become the goals of motivated behavior.

In a previous paper (13) it has been pointed out that these physiological drives or needs are to be considered unusual rather than typical because they are isolable, and because they are localizable somatically. That is to say, they are relatively independent of each other, of other motivations and of the organism as a whole, and secondly, in many cases, it is possible to demonstrate a localized, underlying somatic base for the drive. This is true less generally than has been thought (exceptions are fatigue, sleepiness, maternal responses) but it is still true in the classic instances of hunger, sex, and thirst.

It should be pointed out again that any of the physiological needs and the consummatory behavior involved with them serve as channels for all sorts of other needs as well. That is to say, the person who thinks he is hungry may actually be seeking more for comfort, or dependence, than for vitamins or proteins. Conversely, it is possible to satisfy the hunger need in part by other activities such as drinking water or smoking cigarettes. In other words, relatively isolable as these physiological needs are, they are not completely so.

Undoubtedly these physiological needs are the most prepotent of all needs. What this means specifically is, that in the human being who is missing everything in life in an extreme fashion, it is most likely that the major motivation would be the physiological needs rather than any others. A person who is lacking food, safety, love, and esteem would most probably hunger for food more strongly than for anything else.

If all the needs are unsatisfied, and the organism is then dominated by the physiological needs, all other needs may become simply non-existent or be pushed into the background. It is then fair to characterize the whole organism by saying simply that it is hungry, for consciousness is almost completely preempted by hunger. All capacities are put into the service of hunger-satisfaction, and the organization of these capacities is almost entirely determined by the one purpose of satisfying hunger. The receptors and effectors, the intelligence, memory, habits, all may now be defined simply as hunger-gratifying tools. Capacities that are not useful for this purpose lie dormant, or are pushed into the background. The urge to write poetry, the desire to acquire an automobile, the interest in American history, the desire for a new pair of shoes are, in the extreme case, forgotten or become of secondary importance. For the man who is extremely and dangerously hungry, no other interests exist but food. He dreams food, he remembers food, he thinks about food, he emotes only about food, he perceives only food and he wants only food. The more subtle determinants that ordinarily fuse with the physiological drives in organizing even feeding, drinking or sexual behavior, may now be so completely overwhelmed as to allow us to speak at this time (but *only* at this time) of pure hunger drive and behavior, with the one unqualified aim of relief.

Another peculiar characteristic of the human organism when it is dominated by a certain need is that the whole philosophy of the future tends also to change. For our chronically and extremely hungry man, Utopia can be defined very simply as a place where there is plenty of food. He tends to think that, if only he is guaranteed food for the rest of his life, he will be perfectly happy and will never want anything more. Life itself tends to be defined in terms of eating. Anything else will be defined as unimportant. Freedom, love, community feeling, respect, philosophy, may all be waved aside as fripperies which are useless since they fail to fill the stomach. Such a man may fairly be said to live by bread alone.

It cannot possibly be denied that such things are true but their *generality* can be denied. Emergency conditions are, almost by definition, rare in the normally functioning peaceful society. That this truism can be forgotten is due mainly to two reasons. First, rats have few motivations other than physiological ones, and since so much of the research upon motivation has been made with these animals, it is easy to carry the rat-picture over to the human being. Secondly, it is too often not realized that culture itself is an adaptive tool, one of whose main functions is to make the physiological emergencies come less and less often. In most of the known societies, chronic extreme hunger of the emergency type is rare, rather than common. In any case, this is still true in the United States. The average American citizen is experiencing appetite rather than hunger when he says "I am hungry." He is apt to experience sheer life-and-death hunger only by accident and then only a few times through his entire life.

Obviously a good way to obscure the 'higher' motivations, and to get a lopsided view of human capacities and human nature, is to make the organism extremely and chronically hungry or thirsty. Anyone who attempts to make an emergency picture into a typical one, and who will measure all of man's goals and desires by his behavior during extreme physiological deprivation is certainly being blind to many things. It is quite true that man lives by bread alone—when there is no bread. But what happens to man's desires when there *is* plenty of bread and when his belly is chronically filled?

At once other (and 'higher') needs emerge and these, rather than physiological hungers, dominate the organism. And when these in turn are satisfied, again new (and still 'higher') needs emerge and so on. This is what we mean by saying that the basic human needs are organized into a hierarchy of relative prepotency.

One main implication of this phrasing is that gratification becomes as important a concept as deprivation in motivation theory, for it releases the organism from the domination of a relatively more physiological need, permitting thereby the emergence of other more social goals. The physiological needs, along with their partial goals, when chronically gratified cease to exist as active determinants or organizers of behavior. They now exist only in a potential fashion in the sense that they may emerge again to dominate the organism if they are thwarted. But a want that is satisfied is no longer a want. The organism is dominated and its behavior organized only by unsatisfied needs. If hunger is satisfied, it becomes unimportant in the current dynamics of the individual.

This statement is somewhat qualified by a hypothesis to be discussed more fully later, namely that it is precisely those individuals in whom a certain need has always been satisfied who are best equipped to tolerate deprivation of that need in the future, and that furthermore, those who have been deprived in the past will react differently to current satisfactions than the one who has never been deprived.

The safety needs.—If the physiological needs are relatively well gratified, there then emerges a new set of needs, which we may categorize roughly as the safety needs. All that has been said of the physiological needs is equally true, although in lesser degree, of these desires. The organism may equally well be wholly dominated by them. They may serve as the almost exclusive organizers of behavior, recruiting all the capacities of the organism in their service, and we may then fairly describe the whole organism as a safety-seeking mechanism. Again we may say of the receptors, the effectors, of the intellect and the other capacities that they are primarily safety-seeking tools. Again, as in the hungry man, we find that the dominating goal is a strong determinant not only of his current world-outlook and philosophy but also of his philosophy of the future. Practically everything looks less important than safety, (even sometimes the physiological needs which being satisfied, are now underestimated). A man, in this state, if it is extreme enough and chronic enough, may be characterized as living almost for safety alone.

Although in this paper we are interested primarily in the needs of the adult, we can approach an understanding of his safety needs perhaps more efficiently by observation of infants and children, in whom these needs are much more simple and obvious. One reason for the clearer appearance of the threat or danger reaction in infants, is that they do not inhibit this reaction at all, whereas adults in our society have been taught to inhibit it at all costs. Thus even when adults do feel their safety to be threatened we may not be able to see this on the surface. Infants will react in a total fashion and as if they were endangered, if they are disturbed or dropped suddenly, startled by loud noises, flashing light, or other unusual sensory stimulation, by rough handling, by general loss of support in the mother's arms, or by inadequate support.[1]

In infants we can also see a much more direct reaction to bodily illnesses of various kinds. Sometimes these illnesses seem to be immediately and *per se* threatening and seem to make the child feel unsafe. For instance, vomiting, colic or other sharp pains seem to make the child look at the whole world in a different way. At such a moment of pain, it may be postulated that, for the child, the appearance of the whole world suddenly changes from sunniness to darkness, so to speak, and becomes a place in which anything at all might happen, in which previously stable things have suddenly become unstable. Thus a child who because of some bad food is taken ill may, for a day or two, develop fear, nightmares, and a need for protection and reassurance never seen in him before his illness.

Another indication of the child's need for safety is his preference for some kind of undisrupted routine or rhythm. He seems to want a predictable, orderly world. For instance, injustice, unfairness, or inconsistency in the parents seems to make a child feel anxious and unsafe. This attitude may be not so much because of the injustice *per se* or any particular pains involved, but rather because this treatment threatens to make the world look unreliable, or unsafe, or unpredictable. Young children seem to thrive better under a system which has at least a skeletal outline of rigidity, in which there is a schedule of a kind, some sort of routine, something that can be counted upon, not only for the present but also far into the future. Perhaps one could express this more accurately by saying that the child needs an organized world rather than an unorganized or unstructured one.

The central role of the parents and the normal family setup are indisputable. Quarreling, physical assault, separation, divorce or death within the family may be particularly terrifying. Also parental outbursts of rage or threats of punishment directed to the child, calling him names, speaking to him harshly, shaking him, handling him roughly, or actual physical punishment sometimes elicit such total panic and terror in the child that we must assume more is involved than the physical pain alone. While it is true that in some children this terror may represent also a fear of loss of parental love, it can also occur in completely rejected children, who seem to cling to the hating parents more for sheer safety and protection than because of hope of love.

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[1] As the child grows up, sheer knowledge and familiarity as well as better motor development make these 'dangers' less and less dangerous and more and more manageable. Throughout life it may be said that one of the main conative functions of education is this neutralizing of apparent dangers through knowledge, *e.g.*, I am not afraid of thunder because I know something about it.

Confronting the average child with new, unfamiliar, strange, unmanageable stimuli or situations will too frequently elicit the danger or terror reaction, as for example, getting lost or even being separated from the parents for a short time, being confronted with new faces, new situations or new tasks, the sight of strange, unfamiliar or uncontrollable objects, illness or death. Particularly at such times, the child's frantic clinging to his parents is eloquent testimony to their role as protectors (quite apart from their roles as food-givers and love-givers).

From these and similar observations, we may generalize and say that the average child in our society generally prefers a safe, orderly, predictable, organized world, which he can count on, and in which unexpected, unmanageable or other dangerous things do not happen, and in which, in any case, he has all-powerful parents who protect and shield him from harm.

That these reactions may so easily be observed in children is in a way a proof of the fact that children in our society, feel too unsafe (or, in a word, are badly brought up). Children who are reared in an unthreatening, loving family do *not* ordinarily react as we have described above (17). In such children the danger reactions are apt to come mostly to objects or situations that adults too would consider dangerous.[3]

The healthy, normal, fortunate adult in our culture is largely satisfied in his safety needs. The peaceful, smoothly

running, 'good' society ordinarily makes its members feel safe enough from wild animals, extremes of temperature, criminals, assault and murder, tyranny, etc. Therefore, in a very real sense, he no longer has any safety needs as active motivators. Just as a sated man no longer feels hungry, a safe man no longer feels endangered. If we wish to see these needs directly and clearly we must turn to neurotic or near-neurotic individuals, and to the economic and social underdogs. In between these extremes, we can perceive the expressions of safety needs only in such phenomena as, for instance, the common preference for a job with tenure and protection, the desire for a savings account, and for insurance of various kinds (medical, dental, unemployment, disability, old age).

Other broader aspects of the attempt to seek safety and stability in the world are seen in the very common preference for familiar rather than unfamiliar things, or for the known rather than the unknown. The tendency to have some religion or world-philosophy that organizes the universe and the men in it into some sort of satisfactorily coherent, meaningful whole is also in part motivated by safety-seeking. Here too we may list science and philosophy in general as partially motivated by the safety needs (we shall see later that there are also other motivations to scientific, philosophical or religious endeavor).

Otherwise the need for safety is seen as an active and dominant mobilizer of the organism's resources only in emergencies, *e.g.*, war, disease, natural catastrophes, crime waves, societal disorganization, neurosis, brain injury, chronically bad situation.

Some neurotic adults in our society are, in many ways, like the unsafe child in their desire for safety, although in the former it takes on a somewhat special appearance. Their reaction is often to unknown, psychological dangers in a world that is perceived to be hostile, overwhelming and threatening. Such a person behaves as if a great catastrophe were almost always impending, *i.e.*, he is usually responding as if to an emergency. His safety needs often find specific expression in a search for a protector, or a stronger person on whom he may depend, or perhaps, a Fuehrer.

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[3] A 'test battery' for safety might be confronting the child with a small exploding firecracker, or with a bewhiskered face, having the mother leave the room, putting him upon a high ladder, a hypodermic injection, having a mouse crawl up to him, etc. Of course I cannot seriously recommend the deliberate use of such 'tests' for they might very well harm the child being tested. But these and similar situations come up by the score in the child's ordinary day-to-day living and may be observed. There is no reason why these stimuli should not be used with, for example, young chimpanzees.

The neurotic individual may be described in a slightly different way with some usefulness as a grown-up person who retains his childish attitudes toward the world. That is to say, a neurotic adult may be said to behave 'as if' he were actually afraid of a spanking, or of his mother's disapproval, or of being abandoned by his parents, or having his food taken away from him. It is as if his childish attitudes of fear and threat reaction to a dangerous world had gone underground, and untouched by the growing up and learning processes, were now ready to be called out by any stimulus that would make a child feel endangered and threatened.[3]

The neurosis in which the search for safety takes its clearest form is in the compulsive-obsessive neurosis. Compulsive-obsessives try frantically to order and stabilize the world so that no unmanageable, unexpected or unfamiliar dangers will ever appear (14). They hedge themselves about with all sorts of ceremonials, rules and formulas so that every possible contingency may be provided for and so that no new contingencies may appear. They are much like the brain injured cases, described by Goldstein (6), who manage to maintain their equilibrium by avoiding everything unfamiliar and strange and by ordering their restricted world in such a neat, disciplined, orderly fashion that everything in the world can be counted upon. They try to arrange the world so that anything unexpected (dangers) cannot possibly occur. If, through no fault of their own, something unexpected does occur, they go into a panic reaction as if this unexpected occurrence constituted a grave danger. What we can see only as a none-too-strong preference in the healthy person, *e.g.*, preference for the familiar, becomes a life-and-death necessity in abnormal cases.

The love needs.—If both the physiological and the safety needs are fairly well gratified, then there will emerge the love and affection and belongingness needs, and the whole cycle

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[3] Not all neurotic individuals feel unsafe. Neurosis may have at its core a thwarting of the affection and esteem needs in a person who is generally safe.

already described will repeat itself with this new center. Now the person will feel keenly, as never before, the absence of friends, or a sweetheart, or a wife, or children. He will hunger for affectionate relations with people in general, namely, for a place in his group, and he will strive with great intensity to achieve this goal. He will want to attain such a place more than anything else in the world and may even forget that once, when he was hungry, he sneered at love.

In our society the thwarting of these needs is the most commonly found core in cases of maladjustment and more severe psychopathology. Love and affection, as well as their possible expression in sexuality, are generally looked upon with ambivalence and are customarily hedged about with many restrictions and inhibitions. Practically all theorists of psychopathology have stressed thwarting of the love needs as basic in the picture of maladjustment. Many clinical studies have therefore been made of this need and we know more about it perhaps than any of the other needs except the physiological ones (14).

One thing that must be stressed at this point is that love is not synonymous with sex. Sex may be studied as a purely physiological need. Ordinarily sexual behavior is multi-determined, that is to say, determined not only by sexual but also by other needs, chief among which are the love and affection needs. Also not to be overlooked is the fact that the love needs involve both giving *and* receiving love.[4]

The esteem needs.—All people in our society (with a few pathological exceptions) have a need or desire for a stable, firmly based, (usually) high evaluation of themselves, for self-respect, or self-esteem, and for the esteem of others. By firmly based self-esteem, we mean that which is soundly based upon real capacity, achievement and respect from others. These needs may be classified into two subsidiary sets. These are, first, the desire for strength, for achievement, for adequacy, for confidence in the face of the world, and for independence and freedom.[5] Secondly, we have what we may call the desire for reputation or prestige (defining it as respect or esteem from other people), recognition, attention, importance or appreciation.[6] These needs have been relatively stressed by Alfred Adler and his followers, and have been relatively neglected by Freud and the psychoanalysts. More and more today however there is appearing widespread appreciation of their central importance.

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[4] For further details see (12) and (16, Chap. 5).

[5] Whether or not this particular desire is universal we do not know. The crucial question, especially important today, is "Will men who are enslaved and dominated,

Satisfaction of the self-esteem need leads to feelings of self-confidence, worth, strength, capability and adequacy of being useful and necessary in the world. But thwarting of these needs produces feelings of inferiority, of weakness and of helplessness. These feelings in turn give rise to either basic discouragement or else compensatory or neurotic trends. An appreciation of the necessity of basic self-confidence and an understanding of how helpless people are without it, can be easily gained from a study of severe traumatic neurosis (8).[7]

The need for self-actualization.—Even if all these needs are satisfied, we may still often (if not always) expect that a new discontent and restlessness will soon develop, unless the individual is doing what he is fitted for. A musician must make music, an artist must paint, a poet must write, if he is to be ultimately happy. What a man *can* be, he *must* be. This need we may call self-actualization.

This term, first coined by Kurt Goldstein, is being used in this paper in a much more specific and limited fashion. It refers to the desire for self-fulfillment, namely, to the tendency for him to become actualized in what he is potentially. This tendency might be phrased as the desire to become more and more what one is, to become everything that one is capable of becoming.

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inevitably feel dissatisfied and rebellious?" We may assume on the basis of commonly known clinical data that a man who has known true freedom (not paid for by giving up safety and security but rather built on the basis of adequate safety and security) will not willingly or easily allow his freedom to be taken away from him. But we do not know that this is true for the person born into slavery. The events of the next decade should give us our answer. See discussion of this problem in (5).

[6] Perhaps the desire for prestige and respect from others is subsidiary to the desire for self-esteem or confidence in oneself. Observation of children seems to indicate that this is so, but clinical data give no clear support for such a conclusion.

[7] For more extensive discussion of normal self-esteem, as well as for reports of various researches, see (11).

The specific form that these needs will take will of course vary greatly from person to person. In one individual it may take the form of the desire to be an ideal mother, in another it may be expressed athletically, and in still another it may be expressed in painting pictures or in inventions. It is not necessarily a creative urge although in people who have any capacities for creation it will take this form.

The clear emergence of these needs rests upon prior satisfaction of the physiological, safety, love and esteem needs. We shall call people who are satisfied in these needs, basically satisfied people, and it is from these that we may expect the fullest (and healthiest) creativeness.[8] Since, in our society, basically satisfied people are the exception, we do not know much about self-actualization, either experimentally or clinically. It remains a challenging problem for research.

The preconditions for the basic need satisfactions.—There are certain conditions which are immediate prerequisites for the basic need satisfactions. Danger to these is reacted to almost as if it were a direct danger to the basic needs themselves. Such conditions as freedom to speak, freedom to do what one wishes so long as no harm is done to others, freedom to express one's self, freedom to investigate and seek for information, freedom to defend one's self, justice, fairness, honesty, orderliness in the group are examples of such preconditions for basic need satisfactions. Thwarting in these freedoms will be reacted to with a threat or emergency response. These conditions are not ends in themselves but they are *almost* so since they are so closely related to the basic needs, which are apparently the only ends in themselves. These conditions are defended because without them the basic satisfactions are quite impossible, or at least, very severely endangered.

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[8] Clearly creative behavior, like painting, is like any other behavior in having multiple determinants. It may be seen in 'innately creative' people whether they are satisfied or not, happy or unhappy, hungry or sated. Also it is clear that creative activity may be compensatory, ameliorative or purely economic. It is my impression (as yet unconfirmed) that it is possible to distinguish the artistic and intellectual products of basically satisfied people from those of basically unsatisfied people by inspection alone. In any case, here too we must distinguish, in a dynamic fashion, the overt behavior itself from its various motivations or purposes.

If we remember that the cognitive capacities (perceptual, intellectual, learning) are a set of adjustive tools, which have, among other functions, that of satisfaction of our basic needs, then it is clear that any danger to them, any deprivation or blocking of their free use, must also be indirectly threatening to the basic needs themselves. Such a statement is a partial solution of the general problems of curiosity, the search for knowledge, truth and wisdom, and the ever-persistent urge to solve the cosmic mysteries.

We must therefore introduce another hypothesis and speak of degrees of closeness to the basic needs, for we have already pointed out that *any* conscious desires (partial goals) are more or less important as they are more or less close to the basic needs. The same statement may be made for various behavior acts. An act is psychologically important if it contributes directly to satisfaction of basic needs. The less directly it so contributes, or the weaker this contribution is, the less important this act must be conceived to be from the point of view of dynamic psychology. A similar statement may be made for the various defense or coping mechanisms. Some are very directly related to the protection or attainment of the basic needs, others are only weakly and distantly related. Indeed if we wished, we could speak of more basic and less basic defense mechanisms, and then affirm that danger to the more basic defenses is more threatening than danger to less basic defenses (always remembering that this is so only because of their relationship to the basic needs).

The desires to know and to understand.—So far, we have mentioned the cognitive needs only in passing. Acquiring knowledge and systematizing the universe have been considered as, in part, techniques for the achievement of basic safety in the world, or, for the intelligent man, expressions of self-actualization. Also freedom of inquiry and expression have been discussed as preconditions of satisfactions of the basic needs. True though these formulations may be, they do not constitute definitive answers to the question as to the motivation role of curiosity, learning, philosophizing, experimenting, etc. They are, at best, no more than partial answers.

This question is especially difficult because we know so little about the facts. Curiosity, exploration, desire for the facts, desire to know may certainly be observed easily enough. The fact that they often are pursued even at great cost to the individual's safety is an earnest of the partial character of our previous discussion. In addition, the writer must admit that, though he has sufficient clinical evidence to postulate the desire to know as a very strong drive in intelligent people, no data are available for unintelligent people. It may then be largely a function of relatively high intelligence. Rather tentatively, then, and largely in the hope of stimulating discussion and research, we shall postulate a basic desire to know, to be aware of reality, to get the facts, to satisfy curiosity, or as Wertheimer phrases it, to see rather than to be blind.

This postulation, however, is not enough. Even after we know, we are impelled to know more and more minutely and microscopically on the one hand, and on the other, more and more extensively in the direction of a world philosophy, religion, etc. The facts that we acquire, if they are isolated or atomistic, inevitably get theorized about, and either analyzed or organized or both. This process has been phrased by some as the search for 'meaning.' We shall then postulate a desire to understand, to systematize, to organize, to analyze, to look for relations and meanings.

Once these desires are accepted for discussion, we see that they too form themselves into a small hierarchy in which the desire to know is prepotent over the desire to understand. All the characteristics of a hierarchy of prepotency that we have described above, seem to hold for this one as well.

We must guard ourselves against the too easy tendency to separate these desires from the basic needs we have discussed above, *i.e.*, to make a sharp dichotomy between 'cognitive' and 'conative' needs. The desire to know and to understand are themselves conative, *i.e.*, have a striving character, and are as much personality needs as the 'basic needs' we have already discussed (19).

III. Further Characteristics of the Basic Needs

The degree of fixity of the hierarchy of basic needs.—We have spoken so far as if this hierarchy were a fixed order but actually it is not nearly as rigid as we may have implied. It is true that most of the people with whom we have worked have seemed to have these basic needs in about the order that has been indicated. However, there have been a number of exceptions.

(1) There are some people in whom, for instance, self-esteem seems to be more important than love. This most common reversal in the hierarchy is usually due to the development of the notion that the person who is most likely to be loved is a strong or powerful person, one who inspires respect or fear, and who is self confident or aggressive. Therefore such people who lack love and seek it, may try hard to put on a front of aggressive, confident behavior. But essentially they seek high self-esteem and its behavior expressions more as a means-to-an-end than for its own sake; they seek self-assertion for the sake of love rather than for self-esteem itself.

(2) There are other, apparently innately creative people in whom the drive to creativeness seems to be more important than any other counter-determinant. Their creativeness might appear not as self-actualization released by basic satisfaction, but in spite of lack of basic satisfaction.

(3) In certain people the level of aspiration may be permanently deadened or lowered. That is to say, the less prepotent goals may simply be lost, and may disappear forever, so that the person who has experienced life at a very low level, *i.e.*, chronic unemployment, may continue to be satisfied for the rest of his life if only he can get enough food.

(4) The so-called 'psychopathic personality' is another example of permanent loss of the love needs. These are people who, according to the best data available (9), have been starved for love in the earliest months of their lives and have simply lost forever the desire and the ability to give and to receive affection (as animals lose sucking or pecking reflexes that are not exercised soon enough after birth).

(5) Another cause of reversal of the hierarchy is that when a need has been satisfied for a long time, this need may be underevaluated. People who have never experienced chronic hunger are apt to underestimate its effects and to look upon food as a rather unimportant thing. If they are dominated by a higher need, this higher need will seem to be the most important of all. It then becomes possible, and indeed does actually happen, that they may, for the sake of this higher need, put themselves into the position of being deprived in a more basic need. We may expect that after a long-time deprivation of the more basic need there will be a tendency to reevaluate both needs so that the more prepotent need will actually become consciously prepotent for the individual who may have given it up very lightly. Thus, a man who has given up his job rather than lose his self-respect, and who then starves for six months or so, may be willing to take his job back even at the price of losing his self-respect.

(6) Another partial explanation of *apparent* reversals is seen in the fact that we have been talking about the hierarchy of prepotency in terms of consciously felt wants or desires rather than of behavior. Looking at behavior itself may give us the wrong impression. What we have claimed is that the person will *want* the more basic of two needs when deprived in both. There is no necessary implication here that he will act upon his desires. Let us say again that there are many determinants of behavior other than the needs and desires.

(7) Perhaps more important than all these exceptions are the ones that involve ideals, high social standards, high values and the like. With such values people become martyrs; they will give up everything for the sake of a particular ideal, or value. These people may be understood, at least in part, by reference to one basic concept (or hypothesis) which may be called 'increased frustration-tolerance through early gratification.' People who have been satisfied in their basic needs throughout their lives, particularly in their earlier years, seem to develop exceptional power to withstand present or future thwarting of these needs simply because they have strong,

healthy character structure as a result of basic satisfaction. They are the 'strong' people who can easily weather disagreement or opposition, who can swim against the stream of public opinion and who can stand up for the truth at great personal cost. It is just the ones who have loved and been well loved, and who have had many deep friendships who can hold out against hatred, rejection or persecution.

I say all this in spite of the fact that there is a certain amount of sheer habituation which is also involved in any full discussion of frustration tolerance. For instance, it is likely that those persons who have been accustomed to relative starvation for a long time, are partially enabled thereby to withstand food deprivation. What sort of balance must be made between these two tendencies, of habituation on the one hand, and of past satisfaction breeding present frustration tolerance on the other hand, remains to be worked out by further research. Meanwhile we may assume that they are both operative, side by side, since they do not contradict each other. In respect to this phenomenon of increased frustration tolerance, it seems probable that the most important gratifications come in the first two years of life. That is to say, people who have been made secure and strong in the earliest years, tend to remain secure and strong thereafter in the face of whatever threatens.

Degrees of relative satisfaction.—So far, our theoretical discussion may have given the impression that these five sets of needs are somehow in a step-wise, all-or-none relationships to each other. We have spoken in such terms as the following: "If one need is satisfied, then another emerges." This statement might give the false impression that a need must be satisfied 100 per cent before the next need emerges. In actual fact, most members of our society who are normal, are partially satisfied in all their basic needs and partially unsatisfied in all their basic needs at the same time. A more realistic description of the hierarchy would be in terms of decreasing percentages of satisfaction as we go up the hierarchy of prepotency. For instance, if I may assign arbitrary figures for the sake of illustration, it is as if the average citizen is satisfied perhaps 85 per cent in his physiological needs, 70 per cent in his safety needs, 50 per cent in his love needs, 40 per cent in his self-esteem needs, and 10 per cent in his self-actualization needs.

As for the concept of emergence of a new need after satisfaction of the prepotent need, this emergence is not a sudden, saltatory phenomenon but rather a gradual emergence by slow degrees from nothingness. For instance, if prepotent need A is satisfied only 10 per cent then need B may not be visible at all. However, as this need A becomes satisfied 25 per cent, need B may emerge 5 per cent, as need A becomes satisfied 75 per cent need B may emerge 90 per cent, and so on.

Unconscious character of needs.—These needs are neither necessarily conscious nor unconscious. On the whole, however, in the average person, they are more often unconscious rather than conscious. It is not necessary at this point to overhaul the tremendous mass of evidence which indicates the crucial importance of unconscious motivation. It would by now be expected, on a priori grounds alone, that unconscious motivations would on the whole be rather more important than the conscious motivations. What we have called the basic needs are very often largely unconscious although they may, with suitable techniques, and with sophisticated people become conscious.

Cultural specificity and generality of needs.—This classification of basic needs makes some attempt to take account of the relative unity behind the superficial differences in specific desires from one culture to another. Certainly in any particular culture an individual's conscious motivational content will usually be extremely different from the conscious motivational content of an individual in another society. However, it is the common experience of anthropologists that people, even in different societies, are much more alike than we would think from our first contact with them, and that as we know them better we seem to find more and more of this commonness. We then recognize the most startling differences to be superficial rather than basic, *e.g.*, differences in style of hairdress, clothes, tastes in food, etc. Our classification of basic needs is in part an attempt to account for this unity behind the apparent diversity from culture to culture. No claim is made that it is ultimate or universal for all cultures. The claim is made only that it is relatively *more* ultimate, more universal, more basic, than the superficial conscious desires from culture to culture, and makes a somewhat closer approach to common-human characteristics. Basic needs are *more* common-human than superficial desires or behaviors.

Multiple motivations of behavior.—These needs must be understood *not* to be *exclusive* or single determiners of certain kinds of behavior. An example may be found in any behavior that seems to be physiologically motivated, such as eating, or sexual play or the like. The clinical psychologists have long since found that any behavior may be a channel through which flow various determinants. Or to say it in another way, most behavior is multi-motivated. Within the sphere of motivational determinants any behavior tends to be determined by several or *all* of the basic needs simultaneously rather than by only one of them. The latter would be more an exception than the former. Eating may be partially for the sake of filling the stomach, and partially for the sake of comfort and amelioration of other needs. One may make love not only for pure sexual release, but also to convince one's self of one's masculinity, or to make a conquest, to feel powerful, or to win more basic affection. As an illustration, I may point out that it would be possible (theoretically if not practically) to analyze a single act of an individual and see in it the expression of his physiological needs, his safety needs, his love needs, his esteem needs and self-actualization. This contrasts sharply with the more naive brand of trait psychology in which one trait or one motive accounts for a certain kind of act, *i.e.*, an aggressive act is traced solely to a trait of aggressiveness.

Multiple determinants of behavior.—Not all behavior is determined by the basic needs. We might even say that not all behavior is motivated. There are many determinants of behavior other than motives.[9] For instance, one other important class of determinants is the so-called 'field' determinants. Theoretically, at least, behavior may be determined completely by the field, or even by specific isolated external stimuli, as in association of ideas, or certain conditioned reflexes. If in response to the stimulus word 'table,' I immediately perceive a memory image of a table, this response certainly has nothing to do with my basic needs.

Secondly, we may call attention again to the concept of 'degree of closeness to the basic needs' or 'degree of motivation.' Some behavior is highly motivated, other behavior is only weakly motivated. Some is not motivated at all (but all behavior is determined).

Another important point[10] is that there is a basic difference between expressive behavior and coping behavior (functional striving, purposive goal seeking). An expressive behavior does not try to do anything; it is simply a reflection of the personality. A stupid man behaves stupidly, not because he wants to, or tries to, or is motivated to, but simply because he *is* what he is. The same is true when I speak in a bass voice rather than tenor or soprano. The random movements of a healthy child, the smile on the face of a happy man even when he is alone, the springiness of the healthy man's walk, and the erectness of his carriage are other examples of expressive, non-functional behavior. Also the *style* in which a man carries out almost all his behavior, motivated as well as unmotivated, is often expressive.

We may then ask, is *all* behavior expressive or reflective of the character structure? The answer is 'No.' Rote, habitual, automatized, or conventional behavior may or may not be expressive. The same is true for most 'stimulus-bound' behaviors.

It is finally necessary to stress that expressiveness of behavior, and goal-directedness of behavior are not mutually exclusive categories. Average behavior is usually both.

Goals as centering principle in motivation theory.—It will be observed that the basic principle in our classification has been neither the instigation nor the motivated behavior but rather the functions, effects, purposes, or goals of the behavior. It has been proven sufficiently by various people that this is the most suitable point for centering in any motivation theory.[11]

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[9] I am aware that many psychologists and psychoanalysts use the term 'motivated' and 'determined' synonymously, *e.g.*, Freud. But I consider this an obfuscating usage. Sharp distinctions are necessary for clarity of thought, and precision in experimentation.

[10] To be discussed fully in a subsequent publication.

Animal- and human-centering.—This theory starts with the human being rather than any lower and presumably 'simpler' animal. Too many of the findings that have been made in animals have been proven to be true for animals but not for the human being. There is no reason whatsoever why we should start with animals in order to study human motivation. The logic or rather illogic behind this general fallacy of 'pseudo-simplicity' has been exposed often enough by philosophers and logicians as well as by scientists in each of the various fields. It is no more necessary to study animals before one can study man than it is to study mathematics before one can study geology or psychology or biology.

We may also reject the old, naive, behaviorism which assumed that it was somehow necessary, or at least more 'scientific' to judge human beings by animal standards. One consequence of this belief was that the whole notion of purpose and goal was excluded from motivational psychology simply because one could not ask a white rat about his purposes. Tolman (18) has long since proven in animal studies themselves that this exclusion was not necessary.

Motivation and the theory of psychopathogenesis.—The conscious motivational content of everyday life has, according to the foregoing, been conceived to be relatively important or unimportant accordingly as it is more or less closely related to the basic goals. A desire for an ice cream cone might actually be an indirect expression of a desire for love. If it is, then this desire for the ice cream cone becomes extremely important motivation. If however the ice cream is simply something to cool the mouth with, or a casual appetitive reaction, then the desire is relatively unimportant. Everyday conscious desires are to be regarded as symptoms, as *surface indicators of more basic needs.* If we were to take these superficial desires at their face value we would find ourselves in a state of complete confusion which could never be resolved, since we would be dealing seriously with symptoms rather than with what lay behind the symptoms.

Thwarting of unimportant desires produces no psychopathological results; thwarting of a basically important need does produce such results. Any theory of psychopathogenesis must then be based on a sound theory of motivation. A conflict or a frustration is not necessarily pathogenic. It becomes so only when it threatens or thwarts the basic needs, or partial needs that are closely related to the basic needs (10).

The role of gratified needs.—It has been pointed out above several times that our needs usually emerge only when more prepotent needs have been gratified. Thus gratification has an important role in motivation theory. Apart from this, however, needs cease to play an active determining or organizing role as soon as they are gratified.

What this means is that, *e.g.*, a basically satisfied person no longer has the needs for esteem, love, safety, etc. The only sense in which he might be said to have them is in the almost metaphysical sense that a sated man has hunger, or a filled bottle has emptiness. If we are interested in what *actually* motivates us, and not in what has, will, or might motivate us, then a satisfied need is not a motivator. It must be considered for all practical purposes simply not to exist, to have disappeared. This point should be emphasized because it has been either overlooked or contradicted in every theory of motivation I know.[12] The perfectly healthy, normal, fortunate man has no sex needs or hunger needs, or needs for safety, or for love, or for prestige, or self-esteem, except in stray moments of quickly passing threat. If we were to say otherwise, we should also have to aver that every man had all the pathological reflexes, *e.g.*, Babinski, etc., because if his nervous system were damaged, these would appear.

It is such considerations as these that suggest the bold postulation that a man who is thwarted in any of his basic needs may fairly be envisaged simply as a sick man. This is a fair parallel to our designation as 'sick' of the man who lacks vitamins or minerals. Who is to say that a lack of love is less important than a lack of vitamins? Since we know the pathogenic effects of love starvation, who is to say that we are invoking value-questions in an unscientific or illegitimate way, any more than the physician does who diagnoses and treats pellagra or scurvy? If I were permitted this usage, I should then say simply that a healthy man is primarily motivated by his needs to develop and actualize his fullest potentialities and capacities. If a man has any other basic needs in any active, chronic sense, then he is simply an unhealthy man. He is as surely sick as if he had suddenly developed a strong salt-hunger or calcium hunger.[18]

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[11] The interested reader is referred to the very excellent discussion of this point in Murray's *Explorations in Personality* (15).

[12] Note that acceptance of this theory necessitates basic revision of the Freudian theory.

If this statement seems unusual or paradoxical the reader may be assured that this is only one among many such paradoxes that will appear as we revise our ways of looking at man's deeper motivations. When we ask what man wants of life, we deal with his very essence.

IV. Summary

(1) There are at least five sets of goals, which we may call basic needs. These are briefly physiological, safety, love, esteem, and self-actualization. In addition, we are motivated by the desire to achieve or maintain the various conditions upon which these basic satisfactions rest and by certain more intellectual desires.

(2) These basic goals are related to each other, being arranged in a hierarchy of prepotency. This means that the most prepotent goal will monopolize consciousness and will tend of itself to organize the recruitment of the various capacities of the organism. The less prepotent needs are minimized, even forgotten or denied. But when a need is fairly well satisfied, the next prepotent ('higher') need emerges, in turn to dominate the conscious life and to serve as the center of organization of behavior, since gratified needs are not active motivators.

Thus man is a perpetually wanting animal. Ordinarily the satisfaction of these wants is not altogether mutually exclusive, but only tends to be. The average member of our society is most often partially satisfied and partially unsatisfied in all of his wants. The hierarchy principle is usually empirically observed in terms of increasing percentages of non-satisfaction as we go up the hierarchy. Reversals of the average order of the hierarchy are sometimes observed. Also it has been observed that an individual may permanently lose the higher wants in the hierarchy under special conditions. There are not only ordinarily multiple motivations for usual behavior, but in addition many determinants other than motives.

(3) Any thwarting or possibility of thwarting of these basic human goals, or danger to the defenses which protect them, or to the conditions upon which they rest, is considered to be a psychological threat. With a few exceptions, all psychopathology may be partially traced to such threats. A basically thwarted man may actually be defined as a 'sick' man, if we wish.

(4) It is such basic threats which bring about the general emergency reactions.

(5) Certain other basic problems have not been dealt with because of limitations of space. Among these are (*a*) the problem of values in any definitive motivation theory, (*b*) the relation between appetites, desires, needs and what is 'good' for the organism, (*c*) the etiology of the basic needs and their possible derivation in early childhood, (*d*) redefinition of motivational concepts, *i.e.*, drive, desire, wish, need, goal, (*e*) implication of our theory for hedonistic theory, (*f*) the nature of the uncompleted act, of success and failure, and of aspiration-level, (*g*) the role of association, habit and conditioning, (*h*) relation to the

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[18] If we were to use the word 'sick' in this way, we should then also have to face squarely the relations of man to his society. One clear implication of our definition would be that (1) since a man is to be called sick who is basically thwarted, and (2) since such basic thwarting is made possible ultimately only by forces outside the individual, then (3) sickness in the individual must come ultimately from a sickness in the society. The 'good' or healthy society would then be defined as one that permitted man's highest purposes to emerge by satisfying all his prepotent basic needs.

theory of inter-personal relations, (*i*) implications for psychotherapy, (*j*) implication for theory of society, (*k*) the theory of selfishness, (*l*) the relation between needs and cultural patterns, (*m*) the relation between this theory and Allport's theory of functional autonomy. These as well as certain other less important questions must be considered as motivation theory attempts to become definitive.

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Employee Motivation

CHARLES H. GOODMAN

THE PROBLEM OF MOTIVATING other people is probably as old as the history of man himself, or at least as old as that point in time when man found he could only accomplish certain tasks by combining his efforts or abilities with those of other individuals. With the onset of this realization of the value and need for cooperative effort, the problem was further compounded when larger numbers of people were needed to accomplish a task. The situation then arose of providing direction to such a multiple effort; and with direction, i.e., someone telling others what to do or overseeing the effort, there came the matter of how to motivate these people. The old saying, one can lead a horse to water but one cannot make him drink, was and remains the crux of the motivation problem.

The whip, the lash, cajolery, persuasion, bribery, promises, pleadings, and numerous other techniques have been and are still being used in an attempt to motivate others. Yet, despite our long confrontation with this problem, we are still far from understanding or knowing how to motivate others. Motivation is a matter further complicated by the particular period of time, the particular circumstances and the particular economic conditions surrounding an act. Under conditions of prosperity and full employment, such as the U.S.A. has experienced, the problem of motivating others may become a far more difficult task, particularly in a free society. It is not uncommon today to hear employers ask: How does one get his employees to be genuinely concerned about their work, to take real interest in what they are doing, to accept challenges, to take pride in what they are doing, to want to accomplish at a high level, to want to assume responsibility?

While the questions asked are simple, straightforward and real, the answers are inversely complex and contaminated by factors little understood or even known. While the questions raised are known to be related to the area of motivation, this is an area which has received some systematic psychological study only in the past seventy years. It will be the purpose of this article to explore and examine some of the knowledge that has been acquired and to see how this knowledge may be applied to the matter at hand.

Let us begin by examining the problem of motivation in an organizational setting, for it is here that our particular interests are most concerned. Analytically and for simplicity's sake, one can discern five key elements which play a major role in motivation. These are the employer, the employee, the work environment, the goals of the employer and the goals of the other members of the organization (the workers, supervisors, and managers). It is the interplay of these factors that influences the problem of motivation and determines the outcome.

Let us then make some quick observations of this organizational setting for it is here, within these bounds, that the drama is played. If one observes the work place, one can see people engaged in a variety of activities. Some of these activities may seem to be related to the activities of others, while others may seem to be quite independent. One catches a glimpse of a particular individual who appears to be telling others what to do, or of other people near each other engaged in conversation, while carrying on some activity. The total effect is one of much activity about the scene. This activity—whether similar or different; whether it is writing, talking or making machines function; or whether it is unobservable activity of thought—all has purpose. The purpose or purposes may be different for different organizations, but one basic fact emerges regardless of the kind of organization it may be—all organizations have purpose, and all of the activities that take place within the organization are deemed essential by someone to accomplish the organization's purpose.

In seeking to accomplish these purposes or goals, the manager has at his command the following resources or tools: ideas, money, materials, time and people. In using these resources, he will eventually find that it is the individual, the worker, who must put these resources to work for him, and that the best and most effective use of these resources will depend upon how these workers use them. The condition which emerges is that *one can only get things done with people, with one's workers*: unfortunately it is a fact overlooked by too many supervisors or managers. While this may be overlooked, another factor emerges which is widely noticed; that is, this worker can be highly

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variable, inconsistent and unpredictable. How well the job is performed is affected by this variability and depends upon how well the worker is self-motivated or how well the supervisor can motivate him.

Lest one gain from this description a picture of uncertainty and unpredictability of output, it is important to add that management cannot function or accept such a condition and, therefore, imposes standards of productivity or output. In the factory these are most readily known in terms of piece rates or units of production. Despite these requirements by management, it is well known that workers withhold production; that is, workers may well have the ability to produce more than that required of them. This problem of level of production is far more amorphous in the work situation where the professional person is engaged. How does one measure output in these situations and by what standards? One looks in vain for answers. Attempts have been made and will continue to be made to find solutions, but most of the attempts so far have crumbled or floundered because of the subjectivity involved in establishing such criteria. To date no precise mathematical formulae for determining such standards have been found, and even if they were, it is highly questionable whether they would be equally acceptable to managers and workers. At best, in the business and industrial situation, the worker is considered as a cost factor in the grand total of production costs. Successful companies approximate or determine some level of productivity needed from the worker to consider this element a profitable aspect of the overall operation. In state, national or urban governmental work where services are rendered to the public, even the cost concept of the worker as he relates to productivity or profitability becomes lost.

One must add an additional factor to this sketch of the organizational habitat. First, some psychological studies have shown that people of ability can generally perform better than those of lesser ability at a ratio of two to one, and in some instances, even at a ratio far higher than two to one. Yet, empirical evidence in the work place will tend to show most workers functioning at some overall average level of performance despite their levels of ability. We are charged by some writers as having become a society of average mediocrity, of organization men, and of individuals who have lost their identity and individuality. Social pressures within the work groups or unions, individual attitudes, individual levels of motivation and aspiration, and other elements all play their role in this leveling effect. Many studies of workers have

disclosed that only a small percentage of workers feel they work near their full capacity.

What then are some of the factors that lead to this situation and what can be done to motivate people? Earlier five factors were mentioned as playing a key role in the motivation area. At this point, I mention two of the vital ones—the supervisor and the employee.

First let us repeat quickly some points already made. All organizations have purpose. A library is an organization having the purpose or purposes of providing a professional service to the public or to special publics. All of its employees are then the means by which this service will be provided. How well this service will be rendered will depend upon how well the various activities are carried out by the employees of the library. How adequately these employees will perform will depend upon their own self-motivation or how well they have been motivated by their supervisors.

Even if there is satisfaction with the work being done today, it is only momentary for the accomplishments of today merely become the base for the improvements of tomorrow. The overwhelming characteristic of work in our time is change, and the only instruments capable of making these changes are the managers, the supervisors and the workers. There is only one effective way to get these changes made and that is to influence employees to want to make them.

How do we do this? What are some of the factors involved? First, it is important that we never forget that it is the individual, the worker, who is being asked to make this change and that it is the employee who is in control of the situation. It is the worker who must make the final decision to make this change and he will determine how much or how little he will do. The supervisor, in the extreme position, can fire the worker, but the question then arises as to what this will accomplish.

A second point that must be made is the point so well stated by Drucker: "In hiring a worker one cannot hire a hand; its owner always comes with it . . . one can hire only a whole man rather than any part thereof."[1] And when one hires this whole man or woman, one has hired a personality, attitudes, motives, levels of aspiration, goals, ambitions, needs, egos, roles, abilities, interests, values and many other factors.

If supervisors are to be effective in motivating their workers they must have some understanding of these factors. Gage feels that the better one understands people the better one can get along with them and the better one can motivate them.[2] The supervisor who wants to be able to understand his people must first seek some understanding of himself. What are his own problems, his worries, his ambitions, his prejudices? How do these factors affect his own behavior and in turn so vitally affect his workers? Is he conscious of the possibility that it may be his own behavior which is producing the kind of response from his workers which he does not like or want? Unless we seek some understanding of ourselves in terms of how we affect our workers, we may experience considerable difficulty in motivating them.

Now let us briefly consider the other half of this duality of the supervisor motivating the employee. This worker has a personality which is defined in Menninger's words as "all that a man has been—is—and hopes to be."[3] This is the total person—the way he thinks and feels, his likes and hates, his abilities and interests, his values, and his hopes and desires. It is here in this work place where his hopes and ambitions may be fulfilled or smashed. It is here where his aspirations may be achieved and challenged or where he may develop frustration, aggression, hostility, and apathy. It is this work place which consumes so large a part of his life and either provides fulfillment of his needs or miserably fails to meet them.

Searching deeper to understand this worker, one can see him as a "needs system" seeking to satisfy his wants. Maslow sees the individual in our society and culture as one having a hierarchy of needs.[4] These move from a base of meeting physiological requirements for survival to the apex of self-accomplishments in one's own right. Between these bounds he traces the need for safety and protection from bodily harms and the next level of dependence, the need to feel secure and to be able to depend upon others. This is followed by the need for independence, to be able to stand on one's own two feet, to be respected, to have self-esteem. And lastly this need hierarchy is capped by the need for self-realization, the need to achieve and accomplish. Gratification of our basic needs frees us to move on to the next higher level. In this concept one moves from the area of physiological requirements to the psychological needs. McGregor points this up clearly when he states, "Man lives by bread alone, when there is no bread."[5] He points to this area of higher needs as the place where managers and supervisors fail to motivate their workers.[6] He points out that today most employees can generally fulfill their basic physiological needs, whereupon they attempt to seek fulfillment of their needs in the areas of self-expression, recognition, having some voice in job affairs, doing something worthwhile, and demanding a chance to grow. Often these needs

are largely overlooked by the supervisor and the result is frustration for the worker.

Fundamentally, the problem can be raised in question form as follows: How can we apply the knowledge we have gained to the problem of motivating people? In posing this question, certain conditions must be recognized: 1) One cannot blanket all workers by a general formula. Motivation is an individual matter, and one needs to know and understand as best one can the individual who is to be motivated. 2) One will not be able to motivate others for any length of time if such motivation is used for personal or selfish reasons, i.e., if people are being used for one's own gain. 3) A most important condition, one that cannot be overlooked, is that individuals have their own goals, objectives and aspirations. Unfortunately and all too frequently, only the organization's goals are considered. True, these are important, but equally important is the need to help the individual seek to achieve his goals within the context of the organization's goals. It is a concept of integration, of the realization of individual goals within the larger framework of the organization. It is possible, and it becomes an essential element in motivating others.

Now let us bear in mind a concept set forth earlier, namely, that when a need is satisfied, it is no longer a motivating force. Employers will frequently say, "I pay my people good wages, they have good benefits. Why don't they produce better, and why aren't they more interested in their work?" Essentially what has happened is that their physiological needs are satisfied, and the problem becomes one of meeting the higher social and psychological needs: the needs of association, acceptance by one's fellow workers, of belonging, as well as the needs of his ego—self-confidence, self-esteem, the need for status, accomplishment and respect. These needs, unlike the lower level needs, are rarely fulfilled. Most organizations today, designed on the basic scientific management concepts of direction and control, rarely provide for meeting such needs. It is here then that attention must be directed if we are to be able to motivate with any degree of success. While employers cannot provide these higher level needs to employees in the same sense as they provide salaries or income for the physiological needs, they can provide the climate wherein the employee can seek to satisfy these needs.

Let us now turn to some specifics. First, let us look at a psychological law called the Law of Active Participation. Essentially, it states that when a person actively participates in a learning situation, he tends to acquire the response far more rapidly, and that these response patterns tend to be more stably formed than when he remains passive. By participation, we mean the person is "task involved." But the question comes to the fore—is he ego involved? That is, are his talents involved, does he understand his work, is he working well with his group? If he is, then there will be identification with his job. He will be absorbed, he will be an active participant. If, on the other hand, he does not find his work meaningful and he is not actively participating, he becomes *reactive* and hostility, aggression, and apathy will follow. Allport has stated that "people must have a hand in saving themselves; they cannot and will not be saved from the outside." [7] What is being considered here is the factor getting the employee involved and participating in seeking to accomplish objectives. This does not imply, as some would suggest, that employees are involved in all decision-making. It does imply the involvement of employees in decision-making where the outcome involves them as a group or individually. This principle of ego involvement is brilliantly shown by Coch and French in their study [8] of the Harwood Manufacturing Company. Their experiment was well designed and controlled and it demonstrated how a "failure group" can, by the method of ego involvement and participation, become a success group. In this area of ego involvement and participation lies one of the most important tools of motivation which the supervisor needs to use actively and vigorously.

Along with the above concept flows the process of giving greater freedom and responsibility to the individual to direct his own activities for the accomplishment of organizational objectives. At the same time, this will provide the individual with the opportunity to meet his own egoistic needs. Along with this one can allow the individual to enlarge his job responsibilities and more fully to utilize his abilities. Here one is providing the opportunity of challenge, and the environment for accomplishment, and again one sees conditions being provided for the meeting of higher level needs.

Now let us explore one last set of factors in the problem of application of our knowledge to motivation. Let us examine the role and impact of the supervisor on what takes place in the work situation. Likert, reporting on the studies made by the University of Michigan on worker productivity,[9] found that the workers of units having high levels of productivity reacted differently to their supervisor than did the members of low producing units. How did these higher producing workers see their supervisor? They saw their supervisor as helpful, supportive, and friendly to them. They found him a kind, but also a firm person. They saw him as a just person who was equally concerned about the company and his workers. He had confidence in their motives and looked upon them as individuals of integrity; he treated them with trust rather than with suspicion. He had high expectations of their performance, he expected much and was confident they would not disappoint him. He endeavored to train them well for their jobs and help them become proficient for jobs at the next level. He assisted employees not performing at expected standards. He was a good planner and scheduled work well for the group. He developed his workers into a team with high levels of group loyalty by using group participation methods. He was interested in their ideas and was prepared to do something about them.

Finally there is the matter of appraisal. Ratings and evaluations of workers have long been in use. In general, they have not been very successful, and much of the cause is related to the fact that they have been used critically, destructively, and with little sound data to support the evaluation. Within this process of appraisal, however, there lies good potential for motivation of the worker. But first, it becomes necessary that we reverse the attitude that the appraisal process is destructive. It must be used to allow the employee to set objectives or goals for himself and his work. It can be used to allow the individual to evaluate himself, or, as in the case of General Electric, IBM, General Mills, and others, it can be used as a process of self-evaluation by the employee as well as his supervisor. This is then followed by a discussion with both parties and a plan of action for both supervisor and employee. Regardless of specific technique, the fundamental factor is that evaluations become a constructive developmental approach which can be vitally effective in the motivational process.

In conclusion, one can see the supervisor as one of the prime forces in the motivational process. His prime role is one of developing people who want to participate spontaneously and cooperatively in reaching both organizational and personal goals.

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Ackerman, Leonard. "Let's Put Motivation Where It Belongs—Within the Individual." Reprinted with permission from: *Personnel Journal*, 49:7, 559-562, Copyright © July 1970.

One cannot "motivate" another. But motivation can be transmitted from one to another, as from superior to subordinate by an individualistic approach based upon the determination of the needs of the subordinate by the manager.

Let's Put Motivation Where It Belongs—Within The Individual

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AS MANAGEMENT becomes increasingly aware of the importance of human factors in the attainment of organizational goals, there also appears to be a growing misapplication of the concept of motivation.

Whereas managers are told they must motivate their subordinates, parents their children, and teachers their students, this writer will attempt to demonstrate that one cannot "motivate" another. This is not a new approach to motivation, but one that needs reiteration and amplification. The major assumption is that "motive" is internalized (within the individual), not something that one gives to another. By looking at motivation in this manner the manager should find a more valid approach to achieving more effective employee performance.

For the purposes of this article, all behavior, whether on a conscious or unconscious level, is considered to be directed toward the fulfilling of some need on the part of the individual (i.e., all behavior is motivated). Each individual has a multiplicity of psychological and physiological needs that are frequently changing in priority, strength and duration as he interacts with his environment. The individual's needs can be satisfied in a variety of ways.

The choice is determined by the strength of the need, the value of the various alternatives and the amount of time and effort that must be expended by the individual to fulfill a particular need. Thus, motivation is a function of need—strength, and the relative values of a variety of possible satisfiers and the time and effort that must be expended by the individual in fulfilling his need in choosing a particular satisfier. The determination of the weight attached to each of the factors is subjectively determined by the individual.

One Cannot "Motivate" Another

If the reader is willing to accept the preceding concepts of motivation, he can readily see that one cannot "motivate" another. This statement is usually met with the response that if the listener held a gun to the writer's head and told him to behave in a particular way, he would be "motivating" the writer. There is enough historical evidence, starting

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with Socrates' choice of hemlock, to indicate that the choice is always vested in the individual concerned.

There is no doubt that the environment can be manipulated to the extent that managers can lessen the options open to the employee and force him into a situation where the behavior desired by the manager has a high probability of being elicited. However, this is only meaningful where management has the ability to meet or threaten the employee's needs. If, for example, an employee is told he must increase his output to 20 widgets an hour or be fired, he has a variety of options available. These could range from quitting (I can get a job anyplace) to producing the required number of widgets (I need the job). If he quits, we can see quite readily that he has not been "motivated." If he does produce the required extra number of widgets, most managers would say that he's "motivated"; and it is at this point that most managers fall into the trap. Instead of seeing the employee as behaving in terms of his own needs, the manager sees the employee behaving in terms of his, the manager's needs; or in terms of what seem to be the needs of most employees.

Three Approaches to Motivation

This writer characterizes three management approaches to motivation:

1. *The projective approach*—Where the manager attributes his own needs to his subordinates.

2. *The normative approach*—Where the manager uses information gained by observation, surveys, etc., which lead him to generalize about the needs of employees.

3. *The individualistic approach*—Where the manager deals with each employee as having highly differentiated needs.

It can be readily seen that the projective approach is valid only in those rare instances where the manager and the employee's needs are the same. The normative approach appears to be in the ascendancy, supported to a large extent by the findings of the behavioral sciences in surveying and studying people in organizations. For better and worse many managers feel comfortable working with the average employee (a hypothetical and statistical person) and his average needs. While this approach is more accurate than the projective approach and makes it possible for the manager to deal reasonably effectively with most of his employees, it depersonalizes the interactions between them and makes meaningful communication difficult.

In the projective and normative approaches the manager often finds himself holding out carrots to employees who don't particularly care for carrots.

Individuals' Needs Differentiated

The individualistic approach is characterized by the realization that individuals are highly differentiated in their needs and that if carrots don't fill needs, the manager must come up with an incentive that's meaningful to the individual employee.

All three approaches are designed to stimulate the employee to increased effectiveness on the job. It is readily apparent that the projective approach to management is limited to rare situations. On the other hand the normative approach has much value in the determination of broad personnel policies concerning such things as promotions and other incentives programs. The individual approach, however, is the only one that is oriented to the real world of the individual employee, the manager, and the organization that he represents.

If the concept of a contract, wherein the needs of the employee and the needs of the organization can be met at some acceptable level of satisfaction for both participants, is accepted, then the individualistic approach is not only pragmatic but good "human relations." In essence what we have is an extension of the interdependence of people on one another. An organization needs people to operate its machines, account for its money, plan its work, etc. People need jobs that will give them physiological and psychological income. Thus, money earned can be used for shelter and as a status symbol. In any event belonging to an organized group, beginning with the family, can be called the natural state of man. His needs can be met only through his interactions with others. This means that almost by definition, there must be give and take by those interacting if there is to be optimum fulfillment of an individual's needs. An individual's needs are never fully met and an organization can always use more effective employees.

The Individualistic Approach

Within the above context it can be seen that if an individual's needs are not known, the organization, through its managers, is in a difficult position in meeting its part of the contract. The same is true if the organization cannot communicate its needs to its employees. The interaction between the two is further complicated by the changeability of the needs of the organization and the employees. The individualistic approach can provide the flexibility to meet these changing needs.

The individualistic approach to motivation has a number of drawbacks to its successful implementation. It requires that there be considerable rapport between the manager and the employee in order for meaningful communication to take place. This takes time and the personal involvement of the manager.

In addition, the individualistic approach is fraught with a number of limitations imposed on both the manager and employee which neither can control and which affect the fulfillment of the employee's needs. One of the major limitations faced by the manager is the lack of authority which he has for promotions, awards, and disciplinary actions; in other words, the wherewithal to meet the employee's needs or to withhold those things that he desires. Also important is the employee's level of aspiration. He may have a level of aspiration higher than his abilities, or he may have a great deal of ability and a low level of aspiration. The employee in attempting to deal effectively with his environment and trying to optimize his need-fulfillment finds himself faced with many conflicting needs. An example of this is the case of the employee who has been offered a promotion to a supervisory position. If he accepts the promotion he receives, for example, more authority, more money, more status, and greater opportunity for still more advancement. He is also faced with a greater possibility for failure, loss of ties with present co-workers, more responsibility etc.

The fact is that all the above variables, and many others, make it very difficult for the manager to accurately assess the needs of the employee and create a climate that will allow the employee sufficient opportunity to meet his needs.

Determining the Employee's Needs

Of major concern to this whole approach to management is the question of how does the individual manager find out what the needs of his employees are? This writer feels that asking the employee is primary to answering the question. Although this sounds obvious, the question is hardly ever asked. The first question usually brings up two more questions: how do you know that he is telling you what he really wants or that he even knows what he wants? It is here that the manager can start creating a meaningful relationship with his employee, trusting him to report accurately what his needs are, and also in watching for the employee's responses to a variety of work assignments and incentives. This does not mean that the manager is being put in the role of the constant observer or "spy," but rather that he consciously makes an effort to know what situations and incentives his employees respond to best. The individualistic approach is not only idealistic but realistic. Employees, particularly those with marketable skills, do not have to settle for being treated as numbers. Increasing mobility of the workforce, added to an abundance of jobs, puts employees in a unique position of being able to shop for jobs that will satisfy more of their needs.

Individualistic Approach Not a Panacea

The individualistic approach is not a panacea. Some managers will always do a better job of understanding their employees than others. However, organizations can establish personnel policies that will provide the manager the necessary flexibility to deal with his employees on a more individualistic basis. As organizations grow larger, the authority for making promotions, giving awards and taking disciplinary actions moves up the hierarchy making it cumbersome and unresponsive to the immediacy required. This is particularly true in large organizations which have large numbers of employees performing similar tasks. If the individualistic approach is to work, the manager must either have the authority to reward or punish or he must be in a position where his recommendations are acted on with dispatch. In fulfilling needs, time is a critical factor. Reward or punishment too long after the deed loses its relationship.

If the individualistic approach is to be viable, top management must establish a climate that is individually oriented and backed up with personnel policies that are responsive to and support each manager in the organization. Even so, the organization is not going to be "one big happy family." All the needs of the employee cannot be met in the organizational setting. Some employees will satisfy more of their needs on the job than others.

An employee who is trapped by lack of education should, at the very least, be encouraged to participate in adult education. If the employee does gain increased education or skills and cannot use them in the organization, it would be to the organization's benefit to help him find a job that could make use of his skills. A happy former employee is a far greater asset than a disgruntled employee on the job.

This writer does not accept the criticism that the individualistic approach is an invasion of privacy or the manipulation of employees. When managers and employees can more accurately communicate their needs, we will have more realistic relations between them that should result in more effective functioning of the organization. The fact that mutual trust and frankness between people is a worthy end in itself should make this approach even more significant.

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Motivation: A Vital Force in the Organization

Module II:

Individual Needs: Organizational Responses

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OBJECTIVES FOR MODULE II

The purpose of this module is to explore further the needs which individuals seek to satisfy and which, therefore, motivate them in the organizational setting. We will also want to examine how organizations do and can respond to these needs. Specifically, we will look at some of the research and theories of behavioral scientists who have examined this phenomenon and discuss the implications for practicing managers and supervisors.

After completing this module, and the readings, you should be able to:

- discuss Douglas McGregor's theory with respect to individual needs in the organization; the assumptions managers make about employee motivation; and the resulting responses of individual managers and organizations to these needs

- discuss Frederick Herzberg's theory on hygiene factors and motivators in the work place and their relationship to job satisfaction and dissatisfaction

- discuss David McClelland's findings on individual needs and the differences in intensity of these needs among individuals

- relate the implications of the above theories and research to your own organization

- discuss, generally, how organizations *do* and *might* respond to some of these individuals needs.

TOPIC I: THEORY X AND THEORY Y

In module I we concluded that individuals have a variety of needs which they attempt to satisfy in an organization. One of the first management scholars to build upon this premise and formulate a general theory about management and organizations was the late Douglas McGregor, a professor at MIT's Sloan School of Management, and a noted management consultant. Because of his profound and enduring impact upon the study and practice of management, his writings and theories are very basic to our examination of human motivation within the organization.

McGregor's theories are concerned with the assumptions that managers and supervisors sometimes have about human nature. Before we explore McGregor's theories in depth, you might find it useful to complete the following self assessment instrument based upon your own experiences and observations. In responding to this Self Test, do not try to second guess how you *should* be answering; this test is for your own self-understanding.

SELF TEST II-1

At this point, locate Self Test II-1 on page II-33 and work through it.

Now that you have completed Self Test II-1, we will examine what McGregor has to say about management and motivation. We will save the analysis of Self Test II-1 until you have acquired an understanding of McGregor's concepts. A logical place to begin is with a selection from his own writing.

BEFORE PROCEEDING WITH THIS TOPIC, WE SUGGEST THAT YOU STUDY THE FOLLOWING READINGS:

Reading II-1.

McGregor, Douglas Murray.
"The Human Side of Enterprise," first published in *Adventure in Thought and Action*, Proceedings of the Fifth Anniversary Convocation of the School of Industrial Management, Massachusetts Institute of Technology, Cambridge, April 9, 1957. (Cambridge, Mass: MIT School of Industrial Management, MIT Press, 1957). Reprinted in *Leadership and Motivation*, edited by Bennis and Schein, MIT Press, 1966, pp. 3-20.

This article incorporates the essence of McGregor's theory about management. Note particularly his development of individual needs in the organizational setting, which reflects the hierarchy of human needs presented in Module I. Study also his emphasis on the importance of the assumptions we make about people and their impact on how we manage or supervise people.

Reading II-2.

Caucci, David and James Comes.
"Management from a Behavioral Science Viewpoint." *Focus on Indiana Libraries*, 27: 36-42, Summer, 1973.

The authors provide a lucid comparison of McGregor's Theory X and Theory Y. Note the tables of contrasting assumptions on pages 9-10.

McGregor ascribes to a hierarchy of human needs for which people seek fulfillment in an organizational setting. Similar to those presented by Maslow in Module I, these needs can be placed in a hierarchical diagram as shown in Figure 1.

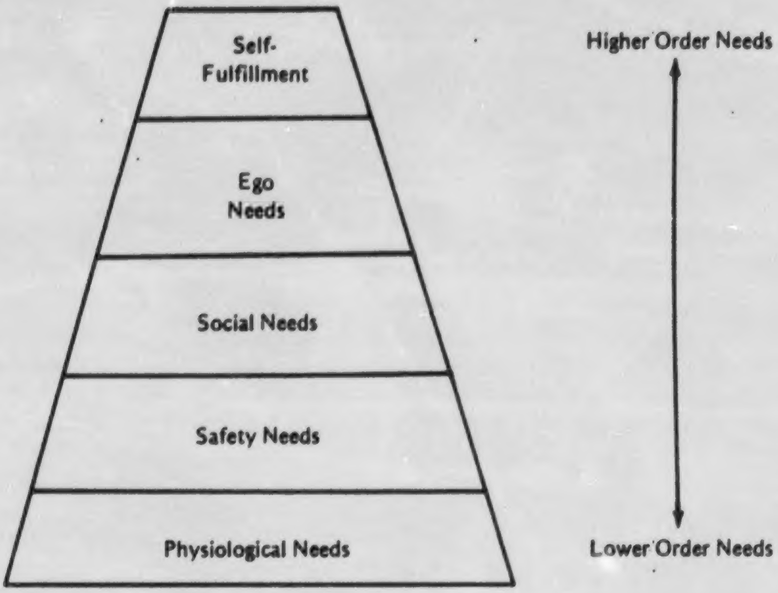

Figure 1: McGregor's Modification of Maslow's Hierarchy of Needs.

According to McGregor, each of these needs, beginning with physiological needs, are motivators *only* to the extent that they are not yet fully satisfied.

Organizational responses to these needs, vis-à-vis the supervisor or manager, are generally directed at satisfying the lower order needs on this pyramid. This response is based on the manager's traditional assumptions about human nature, namely, that people work only because they have tc and, therefore, they must be manipulated or coerced into performing. These assumptions and their respective responses are categorized by McGregor as Theory X.

By contrast, Theory Y assumptions and the responses they generate can be characterized as follows:

- Management is responsible for organizing the elements of productive enterprise—money, materials, equipment, people—in the interest of achieving organizational goals.
- People are *not* by nature passive or resistant to organizational needs. They have become so as a result of experience in organizations.
- The motivation, the potential for development, the capacity for assuming responsibility, the readiness to direct behavior toward organizational goals are all present in people. Management does not put them there. It is a responsibility of management to make it possible for people to recognize and develop these human characteristics for themselves.
- The essential task of management is to arrange organizational conditions and methods of operation so that people can achieve their own goals *best* by directing *their own* efforts toward organizational objectives.[1]

Table 1 serves as a useful device for comparing the assumptions underlying Theory X and Theory Y.

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[1] Douglas McGregor, "The Human Side of Enterprise" in *Leadership and Motivation*, edited by Bennis and Schein, MIP Press, 1966, p. 15.

TABLE 1: McGREGOR'S THEORY OF MOTIVATION IN THE WORK PLACE

THEORY X	THEORY Y
SAYS THE AVERAGE MAN:	SAYS THE AVERAGE MAN:
1. DISLIKES WORK,	1. LIKES WORK,
2. HAS LITTLE AMBITION,	2. RESPONDS BEST TO POSITIVE REINFORCEMENT,
3. AND SEEKS SECURITY.	3. SEEKS RESPONSIBILITY,
	4. AND EXERCISES SELF-CONTROL WHENEVER HIS ACTUALIZATION NEEDS ARE MET.
THEREFORE:	THEREFORE:
HE MUST BE FORCED AND DIRECTED TO WORK.	HE MUST BE MANAGED BY SELF-DIRECTION (AND NOT BY EXTERNAL DIRECTION).

Self Test II-1 which you completed earlier was designed to give you some insight into your own assumptions about people and their behavior in organizations. It may be apparent by now that the Self Test was a simple self-assessment of the degree to which you ascribe to the assumptions underlying Theory X and Theory Y. The following score sheet will give you that self assessment.

SELF TEST II-1: ANALYSIS

Step 1—The following are the questions to which you have previously reacted. They have been rearranged based upon whether they reflect Theory X or Theory Y. Transfer the numerical rank you indicated on the continuum for each question on Self Test II-1 to the blank line opposite the same statement number on the following score sheet. Then, total your numerical scores, and divide the total by the number indicated to get your composite score.

ASSUMPTIONS UNDERLYING THEORY Y

Numerical Score	Statement Number	Statement
______	1	Under the conditions of modern organizational life the intellectual potentialities of the average human being are only partially utilized.
______	4	The expenditure of physical and mental effort in work is as natural as play or rest.
______	7	The average human being does not inherently dislike work.
______	9	Work may be a form of great satisfaction.
______	14	Most people have a high degree of creativity in the solution of organizational problems.
______	16	People will exercise self-direction and self-control in the service of objectives to which they are committed.
______	18	The average human being tends to seek responsibility.

______ ÷ 7 = composite score of ______ for assumptions underlying Theory Y.

Total Score

ASSUMPTIONS UNDERLYING THEORY X

Numerical Score	Statement Number	Statement
______	2	Most people need to be directed in their work.
______	3	A central function of management is to motivate workers to achieve organizational goals.
______	5	Most people fail to put forth adequate effort toward their jobs unless they are somehow controlled.
______	6	The average human being usually prefers to be directed.
______	8	The threat of punishment is a good way to cause people to work effectively.

________	10	Human beings by nature tend to be passive or resistant to organizational needs.
________	11	Most humans beings tend to be resistant to change.
________	12	The threat of punishment is often the most effective means for bringing about effort toward organizational objectives.
________	13	The average human often wishes to avoid responsibility.
________	15	Most people tend to dislike work.
________	17	The average human being usually prefers security above almost everything else.
________	19	The average human tends to have relatively little ambition.
________ ÷	12	= composite score of ______ for assumptions underlying Theory X.

Step 2: Record your composite scores for each of the above groupings by circling the appropriate number on the scale below:

ASSUMPTIONS UNDERLYING THEORY Y:

Theory X Orientation **Theory Y Orientation**

| 1 2 3 4 | 5 6 7 8 | 9 10 11 12 | 13 14 15 16 |

ASSUMPTIONS UNDERLYING THEORY X:

Theory X Orientation **Theory Y Orientation**

| 16 15 14 13 | 12 11 10 9 | 8 7 6 5 | 4 3 2 1 |

INTERPRETATION:

If your composite score for the first group of statements was a higher number (9 or above) on the 1 to 16 continuum, it suggests a tendency on your part to make Theory Y assumptions about people in the organizational setting.

If your composite score for the second group of statements was a higher number (9 or above) on the 1 to 16 continuum, it suggests a tendency on your part to make Theory X assumptions about people in the organizational setting.

The closer to the ends of each of the continuums that your scores fall, the stronger your propensity toward Theory X or Theory Y attitudes.

In order to give you a chance to reflect further upon McGregor's Theory X and Theory Y, it will be useful for you to assess typical attitudes held by practicing managers. One way for you to do this is by analyzing the hypothetical statements of supervisors and managers presented in Module I. Self Test II-2 is designed for this purpose.

SELF TEST II-2

At this point, locate Self Test II-2 on p. II-37 and work through it. When completed to your satisfaction, compare your answers and thoughts to the Analysis which follows.

SELF TEST II-2: ANALYSIS

Statement A clearly reflects a Theory X attitude about people. They must be forced to work, and perform only in the face of threat. Such an attitude is capitalizing on the individual's need for security.

Statement B stresses the importance of money as a motivator. Although the statement recognizes the importance of attaching salary increases to performance, it is difficult to satisfy some of the higher order needs with monetary rewards only. In the final analysis, this attitude reflects a Theory X approach to management.

Statement C reflects a recognition of the need for belonging which people have in an organization. Managers with Theory X inclinations may or may not recognize this need, and to the extent that they do, they will tend to assume a "soft" approach toward management. Although the statement doesn't reflect a true recognition of the higher-order needs, it is not inaccurate as a simple observation.

Statement D comes closest to reflecting the assumptions underlying a Theory Y manager. It assumes people want to do a good job and seek accomplishment and personal satisfaction within the organizational setting.

Statement E is not really in conflict with either Theory X or Y. People do indeed want direction, it is more a question of whose directions and how directions are established. Standing by itself however, the statement implies a rigidity and structural orientation which may be more in line with the attitudes and assumptions of Theory X.

Statement F can be interpreted as a Theory Y attitude when taken at its face value. It acknowledges the need for positive recognition which most of us have. You could, however, question the sincerity of the speaker by putting a slightly different interpretation on the phrasing. The key phrase which could contradict the essence of a Theory Y approach is "when they *think* they are important." This might be interpreted as a patronizing attitude on the part of the supervisor; a true Theory Y attitude would positively assert that people *are* important and that there *is* value in listening to them.

* * *

Having studied McGregor's Theory X and Theory Y, and related it to hypothetical, although not atypical attitudes of managers, it seems appropriate to summarize McGregor's major points:

1. The way we manage and supervise in an organization is influenced by the assumptions we have about people, their behavior in organizations, and their attitude toward work.
2. Theory X assumptions about people are that they are basically lazy, passive, and do not like to work; therefore, they must be forced or enticed to respond to organizational requirements.

3. Theory Y assumptions about people, which are based upon research from the behavioral sciences, are that people *do* want to work and that they do seek satisfaction from their job.

4. Theory Y assumptions recognize the diverse needs of individuals reflected in the hierarchical model discussed earlier; Theory X assumptions place heavy emphasis upon the physiological and security needs, but do not reflect the higher needs.

5. These assumptions influence managerial practices in numerous ways, particularly in the area of control. In the case of Theory X, controls are rigidly placed upon the individual to assure proper conduct; in the case of Theory Y, emphasis is placed upon the self control of the individual.

BEFORE PROCEEDING TO THE NEXT TOPIC, WE SUGGEST THAT YOU STUDY THE FOLLOWING READING:

Reading II-3.

Morton, Donald J.
"Applying Theory Y to Library Management." *College and Research Libraries*, 36: 302-307, July, 1975.

Morton emphasizes the applicability of a Theory Y approach to management in libraries. He suggests that the best means for implementing this approach is through a participatory system of management using five specific methods, namely: (1) definite and unique responsibilities; (2) a short administrative chain of command; (3) adequate means to exhibit productivity to others; (4) freedom from fear of failure; and (5) opportunities to merge self-actualization with normal responsibilities. These are developed on pages 14 and 15 of the Readings.

TOPIC II: HERZBERG'S HYGIENE–MOTIVATION THEORY

Another influential management scholar of recent years is Frederick Herzberg, a psychologist and researcher in human behavior. Based upon extensive research on job satisfaction, he and his associates have developed a theory about motivation in organizations which is generally compatible with McGregor's Theories X and Y, although adding a slightly different dimension to the subject. Before examining his theory with respect to job satisfaction, the following Self Test might provide you with a personal frame of reference for understanding his theory. *Please respond to this Self Test before prejudicing yourself by reading further.* The purpose for this will become apparent as you proceed in this module, and *you will be given an opportunity to analyze your response later.*

SELF TEST II-3

At this point, locate Self Test II-3 on p. II-39 and work through it.

BEFORE PROCEEDING WITH THIS TOPIC, WE SUGGEST THAT YOU STUDY THE FOLLOWING READING:

Reading II-4.

Herzberg, Frederick.
"One More Time: How Do You Motivate Employees?"
Harvard Business Review, 46: 53-62, January-February, 1968.

Based upon his research, Herzberg has identified variables which cause job satisfaction and job dissatisfaction. He distinguishes between satisfiers and dissatisfiers referring to the latter as "hygiene" factors, and the former as motivating factors. He discusses the implications of this phenomenon for managers generally.

Herzberg and his colleagues are concerned about the relationship between job satisfaction and employee productivity. His findings suggest a variation upon the relationship between these two variables. Specifically, he found that the factors which cause job *dissatisfaction* are not usually the same factors that contribute to job *satisfaction*, thus his Motivation–Hygiene Theory. Drawing from medical jargon, he chose the word *hygiene* which, in the medical sense, means to prevent health hazards in the human environment (in other words, good hygiene keeps us from becoming ill or infected). In organizations, these *hygiene* factors can be labeled *dissatisfiers*, because when they are neglected, the situation tends to produce both low performance and negative attitudes. On the other hand, when these hygiene factors are provided for in an organization, they do not contribute to job satisfaction—they simply *prevent* job *dissatisfaction*. Stated another way, these factors, which are controlled by the organization, are highly important, but primarily in a negative sense. People will usually produce a fair day's work for a fair day's pay and not much more!

The factors that cause job dissatisfaction include such things as the following:

- The library's policies and administration (included here would be everything from sick leave policy to grievance policy to fringe benefits)
- Supervision (how directives are given, how close the supervision is, etc.)
- Working conditions (the physical environment of the work area, the physical strain, etc.)
- Salary (both the amount and the equity of distribution)
- Security (fear of losing one's job, etc.)

We might illustrate this phenomenon by referring back to the Case Study in Module I, namely, "Bob Bell's Absence During His Wife's Illness."* In this case Bob Bell was unhappy with the Library's policy with respect to sick leave. This policy was causing him considerable job *dissatisfaction* in that library, at that particular time. If the library were to change this policy or liberalize it to meet circumstances such as he had just encountered, it would prevent comparable dissatisfaction from occuring in the future. Such a change, however, would not create job *satisfaction* for Bob Bell or anyone else. Thus, it is an example of one of Herzberg's *hygiene factors*, namely, organizational policy.

As opposed to the *hygiene* factors which are potential sources of dissatisfaction in an organization, the factors which contribute to job satisfaction, and therefore greater productivity, according to Herzberg, are (for the most part), quite different. These are labeled as *motivators* and include the following:

- Achievement (A sense of accomplishment on the part of the individual. Like most of the *motivators* this is something that individuals themselves must feel and sense)
- The work itself (Individuals can only be motivated by jobs that they recognize as meaningful, jobs that offer them a sense of satisfaction)

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*(See page I-13)

- Responsibility (A sense of trust on the part of the organization is important. Individuals want to know that they have some responsibility for their actions)

- Recognition (Included here is recognition both internal and external to the organization)

- Professional and personal growth (People want to feel that they are becoming more skilled and competent from their on-the-job experiences)

- Advancement (Coupled with all of the above factors is the desire for advancement both within the organization and the profession)

All of these factors can be equated with some of the higher order needs as defined by Maslow, and further discussed by McGregor. Before proceeding further, this seems to be an appropriate time to analyze your responses to Self Test II-3.

SELF TEST II-3: ANALYSIS

The two questions which were posed to you in Self Test II-3 are similar to those which were asked by Herzberg and his colleagues in their research leading to their theory on job satisfaction and dissatisfaction. They found that people tended to respond to question #2 with incidents that could be classified as hygiene factors. In response to question #1, people tended to cite incidents which reflected motivational factors.

1. At this point, try to analyze your *own* responses, and compare them to the hygiene factors and motivators cited in Herzberg's theory.
    a) Try to categorize your answer as an illustration of a *hygiene* factor(s) or a *motivating* factor(s). Where does it fit in Herzberg's scheme?
    b) To what extent was money a factor in each of your answers?
    c) Does your answer to question #1 relate to one of the higher order needs as classified by Maslow?
2. Are the factors that caused you to feel satisfied (your response to question #1) related to higher order needs such as esteem and self actualization?

A study by Kenneth H. Plate and Elizabeth W. Stone of 237 librarians who were asked the same type of questions tended to support Herzberg's findings.[2] If your answers did not fit into Herzberg's scheme, it does not mean that you are unique. This theory, like most, is a generalization of data gathered from a large group of respondents. However, in the above-mentioned study of librarians by Plate and Stone, hygiene factors were listed as satisfiers or motivators by only one per cent of the respondents.[3] On the other hand, quite a few mentioned motivating factors as a source of dissatisfaction:

> It must be noted that twenty-nine librarians signified a *lack* of achievement and fifteen librarians a lack of recognition as dissatisfiers, although these are not hygiene factors.[4]

Plate and Stone concluded that this sampling of librarians did respond positively to the motivators identified by Herzberg.[5]

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[2] Kenneth H. Plate and Elizabeth W. Stone, *Library Quarterly*, volume 44, April 1974, p. 97.

[3] Ibid., p. 106.

[4] Ibid., p. 108.

[5] Ibid., p. 108.

TOPIC III: MONEY AS A MOTIVATOR

Discussion of McGregor's and Herzberg's theories usually raises the issue of the role or importance of money as a motivator. As we have seen, it is frequently identified with the lower order needs of individuals. For example, Herzberg classifies money as a hygiene factor, in fact probably the most important hygiene factor. Herzberg has pointed out that regardless of an individual's salary level or step on any given pay scale, eventually he or she will become dissatisfied with his or her salary. In other words, for most individuals, money is always an important factor.

Money, however, is only a *motivator* to the extent that it is tied to performance. An increase in salary frequently can serve as a reinforcement for desired actions and thus encourages desired behavior; however, its impact on performance is usually short-lived. Furthermore, wage and salary policies in most organizations limit the use of monetary rewards for this purpose, and certainly dictate against its use as a *primary* motivator in *most* organizations. The readings by Charles (Reading II-5) and McDermid (Reading II-6) both discuss and develop the role of money in the motivational process. Both authors clearly suggest the limitations of money as a motivator.

BEFORE PROCEEDING TO THE NEXT TOPIC, WE SUGGEST THAT YOU STUDY THE FOLLOWING READINGS:

Reading II-5.

Charles, A.W.
"Theory Y Compensation," *Personnel Journal*, 52:12-18+26, January, 1973.

The role of money is related to the theories of McGregor and Herzberg. Charles stresses the importance of a compensation plan that reinforces the intrinsic needs of the individual.

Reading II-6.

McDermid, Charles D.
"How Money Motivates Men," *Business Horizons*, 3:93-100, Winter 1960.

The meaning of money is related to Maslow's hierarchy of human needs. The limitations of money as a basis for motivation are emphasized.

TOPIC IV: McCLELLAND ON MOTIVATION

Another systematic approach to motivation in the work place has evolved from the research of David C. McClelland, J.W. Atkinson, and several other associates. This research suggests that the way people behave in an organization is dependent upon (1) the relative strengths of the various motives within an individual and (2) the opportunities afforded to satisfy or achieve these motives in any given situation.

BEFORE PROCEEDING WITH THIS TOPIC, WE SUGGEST THAT YOU STUDY THE FOLLOWING READINGS:

Reading II-7.

Stringer, Robert A.
"Achievement Motivation and Management Control." *Personnel Administration*, 29: 3-5, 14-16, November-December, 1966.

Stringer discusses the importance of McClelland's early research on the need for achievement (n-achievement) and its implications for the practicing manager or supervisor.

Reading II-8.

McClelland, David C.
"That Urge to Achieve", *Think* 32:19-23, November-December, 1966.

In this article, McClelland presents his findings on the need for achievement, power, and affiliation, and develops the important implications of his research.

Using a relatively simple testing device known as the Thematic Apperception Test (TAT) the differences in intensity of aroused needs among individuals are determined. A straightforward description of this testing device follows:

> The subject is shown a series of pictures, usually of people in fairly ambiguous social and work situations, and he is asked to make up an imaginative story suggested by each picture of the series. These stories are written (by the subject) or recorded (by the experimenter) and analyzed in detail for evidence of the different kinds of imagery associated with various motives.

> Such tests are often referred to as projective tests because the subject "projects" into his story his own thoughts, feelings, and attitudes. What the tests actually do is provide us with samples of the kinds of things a person spends his time thinking and daydreaming about when he is not under pressure to think about anything in particular.[6]

The analysis of these stories provides the investigator with an assessment of the relative strengths of each subject's needs.

The three motives or needs which McClelland, Atkinson, and their associates have studied are:

- the need for achievement (n-Achievement)
- the need for power (n-Power)
- the need for affiliation (n-Affiliation)

Although each of these needs is present in every individual, the level of strength to which they are aroused varies, and is dependent upon the past experiences of the individual and the extent to which the environment permits the individual to realize or satisfy a particular need.

N-Achievement. A strong achievement need in an individual is characterized by a tendency on the part of the person to think about ways to accomplish something difficult and significant during times when he or she is not being required to think about anything in particular, during idle moments. Some characteristics of self-motivated achievers are:

- They like to set their own goals, and like to be fully responsible for attaining them if possible.
- They like to assume responsibility for problem solving.
- If they win, they want the credit, if they lose, they accept the blame.
- They try to avoid extreme difficulties in selecting goals and carefully select the goals they think they can attain.
- They like immediate feedback on successes.
- Monetary rewards do not make them work harder, but additional income serves as a kind of feedback, a way of measuring success. For this reason, monetary incentive is important to them.

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[6] George H. Litwin and Robert A. Stringer. *Motivation and Organizational Climate*. Boston: Division of Research, Graduate School of Business Administration, Harvard University, 1968, p. 13.

N-Power. A strong power need in an individual is characterized by a tendency to seek personal influence and control over other people and the means for influencing others. Although research suggests that good leaders and managers should have strong n-Power, its presence does not assure success; this is dependent upon how n-Power is actualized, and how it is moderated by the other two needs.

N-Affiliation. A strong need for affiliation in an individual manifests itself in his or her concern with warm, friendly relationships with others. According to Litwin and Stringer, people with a strong need for affiliation:

> are likely to pay attention to the feelings of others. In group meetings they make efforts to establish friendly relationships, often by agreeing or giving emotional support. [People] with strong need for affiliation seek out jobs which offer opportunities for friendly interaction.[7]

In short, a person who has a high need for affiliation tends to emphasize the quality and importance of personal relationships.

What are the practical implications to be drawn from the findings of this research by McClelland and others? It suggests that a manager should try to assess:

- the relative strengths of each of these needs in the individuals working for them;
- the extent to which various jobs and activities within the organization afford opportunities for employees to satisfy these needs; and
- the extent to which the existing reward system of the organization encourages and reinforces behavior directed at satisfying each of these needs.

Most managers are not prepared to administer and interpret Thematic Apperception Tests. Therefore, in order to assess the relative intensity of the needs within employees, the manager might ask himself or herself some questions about his or her subordinates.

The following sample questions, when answered *yes*, might be indicative of relative strengths of each of the aroused needs within an employee.

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[7] George H. Litwin and Robert A. Stringer. *Motivation and Organizational Climate.* Boston: Division of Research, Graduate School of Business Administration, Harvard University, 1968, p. 22.

ACHIEVEMENT:

- Does he or she react positively to a new and challenging work assignment?
- Does he or she make a concerted, extra effort to meet an agreed upon deadline?
- Does he or she tend to establish rigorous standards of performance for himself or herself?
- Does he or she eagerly accept added responsibilities?

POWER:

- Does he or she tend to seek out the confidence of people with higher status and prestige inside or outside of the organization?
- Does he or she seem to enjoy the opportunity to supervise numbers of people?
- Are status symbols particularly important to him or her, and does he or she seem to use them to influence or impress others?
- At a staff meeting, does he or she tend to consistently conduct himself or herself in a manner designed to gain the recognition and approval of superiors?

AFFILIATION:

- Does he or she display unhappiness when required to work in seclusion?
- Does he or she become actively and consistently involved in social functions sponsored by the library?
- Does he or she seem particularly sensitive to the praise or criticism of others?

In order to determine the extent to which existing positions afford employees the opportunity to satisfy these three needs, managers should attempt to answer questions such as the following about various positions in the organization. Affirmative answers to these questions might be indicative of the extent to which any given position allows the person in the position to satisfy each of these three needs.

ACHIEVEMENT:

- How challenging and demanding are the tasks and activities of the position?

- Does the position allow for freedom and initiative on the part of the incumbent?
- Do the results of the activities required of the position provide immediate and clear feedback as to the success or failure of the incumbent?

POWER:

- Does the position require the incumbent to supervise large numbers of people?
- Does the position afford the incumbent many opportunities for interaction with superiors and "higher-ups" in the organization?
- Does the position allow the incumbent considerable autonomy to make decisions?

AFFILIATION:

- Does the position allow for frequent personal interaction with colleagues by the incumbent?
- Does the position require close cooperation between the incumbent and fellow employees?
- Does the position permit the incumbent to socialize with fellow workers?
- Does the position require the incumbent to work with the same people over extended periods of time?

You ought to seek answers to these questions (as well as others which might occur to you) about the people you supervise as well as the positions which they fill in your library or information center. While such an approach can be somewhat subjective, it may also provide you with some new insights into the behavior of your subordinates and colleagues. Also, the answers to the second group of questions, about existing positions, might suggest possibilities for redesigning or restructuring them.

Finally, you should be asking yourself as a supervisor what you do to encourage or discourage the efforts of your subordinates to satisfy these respective needs. McClelland's theory suggests that the level of arousal of these three needs tends to be reinforced by a person's work environment. If someone is rewarded for problem solving and establishing and achieving goals, they tend to continue this same strategy. If they are rewarded for loyalty, this tends to reinforce their need for affiliation. If the organization tends to reward people who assume additional supervisory responsibilities, this could tend to reinforce the need for power.

TOPIC V: COMPARISON OF MASLOW, McGREGOR, HERZBERG, & McCLELLAND

Before proceeding further, it may be useful to analyze the compatibility of these theories: namely those of Maslow, McGregor, Herzberg, and McClelland. Although each assumes a slightly different perspective, they do share many common elements that have implications for practicing managers.

Needs. All recognize that people are motivated in work situations by the desire to satisfy a set of needs. McGregor and Herzberg base their respective theories on Maslow's theory which delineates a hierarchy of needs from the lowest (physiological) to the highest (self-actualization). Both agree that people tend to seek satisfaction of those needs in a hierarchical order. Herzberg's conclusion is that only the higher order needs in this hierarchy, however, are truly motivators. They both suggest that organizations and their managers tend to recognize and emphasize the lower order needs of the individual, but frequently fail to properly stress the higher order needs.

McClelland and associates have concentrated on three human needs, namely, power, achievement, and affiliation, without considering the more basic needs as defined by Maslow. They offer substantial evidence of varying degrees of intensity of these needs among individuals based upon the past conditioning of the individual and his or her present work situation. McClelland does not suggest that organizations and managers must accept existing differences in intensity of aroused needs among employees as irreversible. Rather, he suggests that these differences must be considered in any concerted effort to improve the motivational climate of the organization. Herzberg and McGregor would generally agree with this assessment, emphasizing that managers must work consciously toward providing situations in which people can achieve and satisfy their higher order needs. A comparison of these various interpretations of human needs is shown in Table 2.

Table 2
Comparison of the Relative Importance of Needs as Motivators

INDIVIDUAL NEEDS AS IDENTIFIED BY:			
MASLOW	McGREGOR	HERZBERG	McCLELLAND
Self-Actualization	Self-Fulfillment	Rewarding Work Responsibility Advancement Growth	Need for Achievement
Esteem	Ego	Achievement Recognition	Need for Power
Belongingness	Social	Good Interpersonal Relationships Good Supervisor	Need for Affiliation
Safety Security	Safety	Job Security	
Physiological	Physiological	Salary Work Conditions	

▨ Motivators

EXERCISE II-1

Before reading the Case Study which follows, locate Exercise II-1 on page II-41 and follow the directions at the top of the page.

CASE STUDY II-1: A New Position

Jane X. recently accepted a position in a small specialized library/information center of a large consulting firm. Her most recent position had been as a reference librarian in a special library for five years in another city. She had been extremely happy in her former position, finding the work challenging and rewarding, and particularly enjoyed a close working relationship with other members of the library and company staff. For personal reasons it was necessary for her to relocate in a large metropolitan area, and after extensive job hunting, she was initially pleased to have found this new position.

She was hired to develop a responsive bibliographic control system for an extensive collection of specialized documents, consisting primarily of technical and government reports, and was to create a computerized data base, including a thesaurus of relevant descriptors. The position was classified as temporary, but it was implied that a permanent position might be established at a later date. At the time she was hired, the library director, Mary Y., assured her that she would have ample opportunities to perform some reference work in addition to her primary responsibility, and would be considered as a regular member of the team of the information center.

Because of crowded quarters in the actual information center, Jane X. was provided space in a large, pleasantly appointed office one floor removed from the rest of library. She was given no clerical support, but the collection for which she was to organize and develop a thesaurus was moved into the same room. Much of her time was spent in assigning entries and subject descriptors to the items in this collection. She discussed any problems or major decisions with Mary Y., usually meeting with her a couple of times a week for less than an hour. Mary Y. listened patiently to her problems, but invariably seemed concerned about other matters during their conferences. Jane X. seldom saw the other members of the library staff although she had never been discouraged from making such contacts. On a couple of occasions, she had consulted with two company researchers on appropriate descriptors. In both instances, they showed little interest in her project and offered little insight into the resolution of her problems.

After several months on the job, Jane X. sat back to analyze her situation. In short, she was less than happy with her situation, and she needed to place these feelings in proper perspective.

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Implications for Organizations

Most of the research and theories presented in this module suggest that although motivation is very much internal to the individual, there are many things that organizations and managers *at all levels* can do to create an organizational climate which facilitates the need fulfillment of its members. Some specific steps toward this end are recommended by each of these authors:

McGregor: (Reading II-1, pp. 4-5)

- Decentralization and Delegation
- Job Enlargement
- Participative and Consultative Management
- Individual Goal Setting

Herzberg: (Reading II-4, pp. 22-25)

- Job Enrichment or providing "the opportunity for the employee's psychological growth" by structuring jobs that provide:
    - an opportunity to learn something new
    - greater autonomy and responsibility
    - self control over job tasks.

McClelland: (Reading II-7, pp. 42-47)

> In his discussion of McClelland's work on achievement motivation, author Stringer suggests that for people to satisfy a need for achievement, they must be allowed to establish goals that are achieveable.

The importance of these implications will be discussed in future modules. In the next module, we will concentrate upon the need for integrating individual goals with those of the organization and develop two general systems of management which offer some practical compatibility with the theories and research just presented, namely, Management by Objectives and Participatory Management.

SELECTED MATERIALS FOR FURTHER STUDY

READINGS

Bennis, Warren G.

"Chairman Mac in Perspective," *Harvard Business Review*, 50: 140-148, September/October 1972.

In this article a colleague and friend of Douglas McGregor's gives a retrospective view of the impact of his work and life. The article includes an excellent summary of the elements of Theory X and Theory Y, and is recommended to those who wish to understand McGregor more fully.

Dowling, William F.

"Managers or Animal Trainers? An Interview with Frederick Herzberg," *Management Review*, 60:2-15, July 1971.

Dr. Frederick Herzberg discusses his research and shares some interesting insights about his motivation-hygiene theory. He discusses the difference between management by movement, or KITA ("kick in the ass"), and management by motivation, or job enrichment (a topic which we will discuss in more detail in a later module). Those who wish to understand Herzberg and his views more fully will find this article helpful.

Evans, Richard.

"Gordon Allport: A Conversation by Richard I. Evans," *Psychology Today*, 4:55-59+, April 1971.

In this popularly written article, Dr. Richard Evans, Professor of Psychology at the University of Houston, gives us an informal view of Gordon Allport based on interviews that he had with Allport some time before his death in 1967. A more complete report of these interviews has been published by E.P. Sutton under the title, *Gordon Allport: The Man and His Ideas.*

Throughout his career, Allport advocated the qualitative study of the *individual* case, while the behaviorists argued for the study of quantifiable responses and the discovery of general laws of behavior. He felt that understanding each person's *uniqueness* was much more important in predicting behavior than the study of similarities among men.

Allport held that most men act for conscious reasons: "If you want to know something about a person," he wrote, "why not first ask him?" (p. 58).

The excerpts in this article contain Allport's comments on his own theories, as well as descriptions of his encounters with other important psychologists.

Harris, T. George.

"To Know Why Men Do What They Do: A Conversation with David C. McClelland," *Psychology Today*, 4:35-39, 70-75, January 1971.

In this interview, T. George Harris questions David C. McClelland about the origin and future plans of his research on the achievement, or n-Ach, motive. As McClelland puts it, "to know why men do what they do we have to search for the reasons behind the reasons they assign." (p. 36).

McClelland discusses what his research reveals about the type of family that produces the achievement motive, about the effects of children's literature on the n-Ach motive, and about his successful experiments in achievement-motivation training in various parts of the world in totally different types of cultures.

McClelland concludes the interview: "We have shown that whatever a generation wants, it gets. Such a statement is saved from banality by the new fact that the psychologist now has the tools for finding out what a generation wants, better than it knows itself, and before it has had a chance of showing by its actions what it is out to get. With such knowledge man has a fair chance to shape his own behavior and, for the first time, to decide his own destiny." (p. 75).

An interesting reading for those who would like to explore McClelland and his research further.

Hersey, Paul and Kenneth H. Blanchard.
"Motivation and Behavior," Chapter 2 in *Management of Organizational Behavior: Utilizing Human Resources*. 2nd edition. Englewood Cliffs, New Jersey: Prentice-Hall, 1972, pp. 9-41.

This book was recommended in the *Guide to the Course* as a very readable text. Chapter 1 was reprinted as your second reading in Module I. Chapter 2, in which the authors develop a theoretical framework to help us better understand human behavior, is especially appropriate for further study of the topics covered in Module II.

Kafka, Vincent W. and John H. Schaefer.
Open Management. New York: Peter H. Wyden, 1975.

You will find several chapters in this very practical book especially helpful in continuing your study of individual needs. Chapter 4, "Identifying and Building on Individual Strengths" urges us to stress and develop an individual's strengths, rather than criticizing his weaknesses. The authors suggest a method for identifying strengths (your own as well as other people's), and show how strength analysis can be helpful in the motivational process. In Chapter 5, "Understanding and Satisfying Individual Human Needs," five basic human needs are discussed in detail, and the authors present a profile to use in identifying which needs predominate in a particular person. Several case studies are then presented to further illustrate the importance of identifying and satisfying a person's strongest human needs. Chapter 9, "Understanding Human Needs," explains how human symbols ("the actions, words and things with which one surrounds oneself") are indicators of human needs. A tool is presented for developing empathy—that is, understanding the other person's point of view—an ability which is certainly essential if the manager is to understand and attempt to satisfy human needs. Finally, Chapter 12, "How to Identify Human Needs," discusses the importance of becoming a perceptive observer—to *practice* being perceptive, so as to recognize the human needs of others, and especially those which are strongest. The fact that these needs can be satisfied in either *positive* or *negative* ways is also discussed, as is the need for avoiding conditions which may *threaten* need satisfaction, as well as creating a need-satisfying environment. Several case studies provide examples of how various human needs can be satisfied on the job.

Litwin, George H. and Robert A. Stringer, Jr.
Motivation and Organizational Climate. Boston: Division of Research, Graduate School of Business Administration, Harvard University, 1968.

In this book, Litwin and Stringer have attempted to *apply* the research of David C. McClelland, John W. Atkinson and others on human motivation to organizational behavior. Professor Litwin has worked extensively under Professor David McClelland, and understands his work well. This monograph reports on the authors' experimental studies and includes practical suggestions for the manager or supervisor. The authors' attempt to apply a theory of motivation to human behavior in organizations led them to the concept of organizational climate, which they explore in this book, and which we will discuss in Module V.

McClelland, David C.

"Money as a Motivator: Some Research Insights." *Management Review,* 57: 23-28, February, 1968. Condensed from *The McKinsey Quarterly,* Fall, 1967.

In this article, McClelland warns that managers who assume that money is the primary motivator often run the risk of encouraging employee behavior which is counterproductive. Money is only one tool among many available to the manager to help him in his task of motivating. His research has shown that variables in the work situation must also be taken into account in identifying effective motivators.

McClelland, David C. and David H. Burnham.

"Power is the Great Motivator," *Harvard Business Review,* 54:100-110, March/April, 1976.

In this very interesting and insightful article, the authors describe a study in which they attempted to determine which motivational pattern makes the best managers. The techniques used in their study are synopsized on page 107 of the article. The data which was collected led them to the conclusion that the most effective managers have a high need for power (that is, a desire to have impact on others, to be strong and influential) and are low in affiliation motivation. They are also high in self-control or inhibition, which tempers their need for personal power, and makes them more concerned with influencing the behavior of others for the good of the organization. The authors also discuss the importance of managerial style in the profile of the good manager, and give several examples of how having such information about his or her own motivational pattern and style can be very helpful to the practicing manager.

Plate, Kenneth H. and Elizabeth W. Stone.

"Factors Affecting Librarians' Job Satisfaction: A Report of Two Studies," *Library Quarterly,* 44:97-110, April 1974.

This article, which was referenced in the text, reports on a study by the authors of the factors affecting the job satisfaction of librarians. The study was based on Herzberg's theory, and involved the analysis of data gathered from 162 American and 75 Canadian librarians; the findings correspond to those of Herzberg. The article also discusses the implications of the study for librarians in terms of motivation and job enrichment.

Wahba, Susanne Patterson.

"Job Satisfaction of Librarians: A Comparison between Men and Women," *College and Research Libraries,* 36:45-51, January 1975.

Using the well-validated Need Satisfaction Questionnaire (NSQ) which was developed to reflect Maslow's Hierarchy of Human Needs, the author collected data from 202 men and women librarians from twenty-three college and university libraries. The results of the study show that while men and women attached the same importance to security, social, and self-esteem needs, the women regarded autonomy and self-actualization needs as having lower importance than did the men who participated in the study. The women were more dissatisfied than the men in all need categories (security, esteem, autonomy, and self-actualization needs) except as regards social needs, which were similar for both men and women. The results clearly point to the need to alleviate differential treatment in the work environment of men and women librarians. Certainly, this is a useful study with which those who manage libraries and information centers should be familiar.

FILMS

Building a Climate for Individual Growth.
(Film) BNA Communications, 1969. 25 minutes, sound, color, 16 mm. (The Motivation to Work Series).

This film uses Frederick Herzberg's explanation of psychological growth, to parallel growth in the biological sense with growth in the self-development or psychological sense. When one stops growing in either sense, he dies in that sense. Management techniques are designed to keep the individual employee "alive" and growing. Also available in 3/4 inch videocassette format (see below).

Building Job Satisfaction and Morale.
(Film) American Management Association, 1967. 27 minutes, sound, color, 16 mm. (The Developing Leadership Skills Series).

Dr. James J. Cribbin discusses the main sources of job motivational problems and Herzberg's research on motivation, separating the "hygienic factors," such as wages, working conditions and security from the real motivators.

Emotional Styles in Human Behavior.
(Film) UCLA, Distributed by University of California Extension Media Center, 1962. 24 minutes, sound, black/white, 16 mm. (The Management Development Series).

Dr. Richard Wallen lectures on a variety of personnel problems and proposes a way to understand people better by determining their style of emotional behavior. He diagrams guidelines for determining the kinds of people best suited to different jobs and for predicting how three personality types may be expected to act under normal and stress conditions.

KITA, Or, What Have You Done for Me Lately?
(Film) BNA Communications, 1969. 25 minutes, sound, color, 16 mm. (The Motivation to Work Series).

Explains the motivation-hygiene theory, analyzing "hygiene" at considerable length, what it is and how to manage it in the work environment, what it does and does not do. Several "blackouts" to illustrate employee reaction to management's effort to use hygiene as a motivator; humorous and effective.

Knowing Your Employees—Individual Differences.
(Film) American Management Association, 1967. 19 minutes, sound, color, 16 mm. (The Developing Supervisory Leadership Skills Series).

Dr. Charles Roth attempts to help supervisors to become better leaders by discussing some of the factors which influence behavior: inherited characteristics, environmental influences, and variation in individual perception.

Motivation Through Job Enrichment.
(Film) BNA Communications, 1967. 28 minutes, sound, color, 16 mm. (The Gellerman Motivation and Productivity Series).

Dr. Frederick Herzberg explains his "Motivation-Hygiene Theory," demonstrating that the opportunity to satisfy the human need for accomplishment is the real motivation, and describing the various ways in which routine jobs can be enriched to provide positive motivation. Also available in 3/4 inch video cassette format (see below).

The Self-Motivated Achiever.
(Film) BNA Communications, 1967. 28 minutes, sound, color, 16 mm. (The Gellerman Motivation and Productivity Series).

Dr. David McClelland discusses methods of identifying individuals with high achievement needs in an organization, and ways of dealing with them once they are found. Also available in 3/4 inch video cassette format (see below).

Theory X and Theory Y—Two Sets of Assumptions in Management.
(Film) Salenger Educational Media, 1974. 10 minutes, sound, color, 16 mm.

John Morse of the Harvard Business School discusses the managerial theories which Douglas McGregor labeled Theory X and Theory Y.

Theory X and Theory Y—Work of Douglas McGregor, Part 1—Description; Part 2—Application.
(Film) BNA Communications, 1969. Each 25 minutes, sound, color, 16 mm. (The Gellerman Motivation and Productivity Series).

In the first of these two films, *Part 1: Description of the Theory*, Warren Bennis, Richard Beckhard, and John Paul Jones, former colleagues of Douglas McGregor, discuss and compare X and Y. *Part 2: Application of the Theory*, explains how and why more effective employee behavior and greater productivity result under Theory Y management. Also available in 3/4 inch video cassette format (see below).

VIDEO CASSETTES

Building a Climate for Individual Growth.
(3/4 inch video cassette) BNA Communications, 1969. 25 minutes, color. (The Motivation to Work Series).

See annotation under FILMS on page II-29.

KITA, Or What Have You Done for Me Lately?
(3/4 inch video cassette) BNA Communications, 1969. 25 minutes, color. (The Motivation to Work Series).

See annotation under FILMS on page II-29.

Motivation Through Job Enrichment.

(3/4 inch video cassette) BNA Communications, 1967. 28 minutes, color. (The Gellerman Motivation and Productivity Series).

See annotation under FILMS on page II-30.

The Self-Motivated Achiever.

(3/4 inch video cassette) BNA Communications, 1967. 28 minutes, color. (The Gellerman Motivation and Productivity Series).

See annotation under FILMS on page II-30.

Theory X and Theory Y–The Work of Douglas McGregor.
Part I: Description; Part II: Application.

(3/4 inch video cassette) BNA Communications, 1969. Each 25 minutes, color. (The Gellerman Motivation and Productivity Series).

See annotation under FILMS on page II-30.

AUDIO TAPE CASSETTES

Motivation Through Job Enrichment.

(Audio tape cassette) BNA Communications, 1970. 60 minutes. (The Motivation and Productivity Series).

Saul Gellerman and Emanuel Kay discuss the ideas of Frederick Herzberg, and point out that apathy and minimum effort can be expected when jobs offer the employee no more satisfaction than good pay, security, friendly supervision, congenial fellow-employees, and a decent place to work. They explain that these hygiene factors may keep the worker from complaining, but they will not motivate him to work harder or more efficiently.

The Self-Motivated Achiever.

(Audio tape cassette) BNA Communications, 1970. 60 minutes. (The Motivation and Productivity Series).

Saul Gellerman and Emanuel Kay discuss the ideas of David C. McClelland, explaining that although most people have some degree of achievement motivation, not more than 10% of the U.S. population is particularly high in this motive. They describe the type of problem a sales manager might have if he had to choose between a self-motivated achiever and a less successful salesman to succeed him as manager.

Theory X and Theory Y, Part 1 and Part 2.

(Audio tape cassette) BNA Communications, 1970. 60 minutes each. (The Motivation and Productivity Series).

Saul Gellerman and Emanuel Kay discuss the ideas of Douglas McGregor. Part 1 presents a dramatic illustration which might serve to provoke discussion after viewing the film. Part II points out the limitations of the coercive leadership approach, and the even less productive response to the coaxing approach, sometime mistaken for Theory Y.

TRANSPARENCIES

Factors Causing Job Satisfaction Compared With Factors Causing Job Dissatisfaction.
(8 x 10 prepared transparency) Lansford Publishing Co., color. (Man Machine System–Contemporary Problems Series).

Herzberg's Motivators and Dissatisfiers.
(8 x 10 prepared transparency) Lansford Publishing Co., 1972. 7 overlays, color. (Managment, Pt. 2–Behavioral Aspects of Management Series).

McGregor's Theory X and Y.
(8 x 10 prepared transparency) Lansford Publishing Co., 1972. 7 overlays, color. (Management, Pt. 2–Behavioral Aspects of Management Series).

Sources of Nonprint Materials

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SELF TEST II-1: ORGANIZATIONAL REACTION FORM*

DIRECTIONS– This organizational reaction form is designed to give you a chance to indicate your reaction to statements about man in relation to organizations. Circle the number on the scale that indicates your reaction to each statement. Be honest with yourself!

1. Under the conditions of modern organizational life the intellectual potentialities of the average human being are only partially utilized.

1 2 3 4	5 6 7 8	9 10 11 12	13 14 15 16
Strongly Disagree	Disagree	Agree	Strongly Agree

2. Most people need to be directed in their work.

1 2 3 4	5 6 7 8	9 10 11 12	13 14 15 16
Strongly Disagree	Disagree	Agree	Strongly Agree

3. A central function of management is to motivate workers to achieve organizational goals.

1 2 3 4	5 6 7 8	9 10 11 12	13 14 15 16
Strongly Disagree	Disagree	Agree	Strongly Agree

4. The expenditure of physical and mental effort in work is as natural as play or rest.

1 2 3 4	5 6 7 8	9 10 11 12	13 14 15 16
Strongly Disagree	Disagree	Agree	Strongly Agree

5. Most people fail to put forth adequate effort toward their jobs unless they are somehow controlled.

1 2 3 4	5 6 7 8	9 10 11 12	13 14 15 16
Strongly Disagree	Disagree	Agree	Strongly Agree

---

*Compiled by Dr. Robert Simerly, Office of Extended Campus, Area of Educational Administration and Supervision, Syracuse University, Syracuse, New York.

6. The average human being usually prefers to be directed.

1 2 3 4	5 6 7 8	9 10 11 12	13 14 15 16
Strongly Disagree	Disagree	Agree	Strongly Agree

7. The average human being does not inherently dislike work.

1 2 3 4	5 6 7 8	9 10 11 12	13 14 15 16
Strongly Disagree	Disagree	Agree	Strongly Agree

8. The threat of punishment is a good way to cause people to work effectively.

1 2 3 4	5 6 7 8	9 10 11 12	13 14 15 16
Strongly Disagree	Disagree	Agree	Strongly Agree

9. Work may be a form of great satisfaction.

1 2 3 4	5 6 7 8	9 10 11 12	13 14 15 16
Strongly Disagree	Disagree	Agree	Strongly Agree

10. Human beings by nature tend to be passive or resistant to organizational needs.

1 2 3 4	5 6 7 8	9 10 11 12	13 14 15 16
Strongly Disagree	Disagree	Agree	Strongly Agree

11. Most human beings tend to be resistant to change.

1 2 3 4	5 6 7 8	9 10 11 12	13 14 15 16
Strongly Disagree	Disagree	Agree	Strongly Agree

12. The threat of punishment is often the most effective means for bringing about effort toward organizational objectives.

1 2 3 4	5 6 7 8	9 10 11 12	13 14 15 16
Strongly Disagree	Disagree	Agree	Strongly Agree

13. The average human often wishes to avoid responsibility.

1 2 3 4	5 6 7 8	9 10 11 12	13 14 15 16
Strongly Disagree	Disagree	Agree	Strongly Agree

14. Most people have a high degree of creativity in the solution of organizational problems.

1 2 3 4	5 6 7 8	9 10 11 12	13 14 15 16
Strongly Disagree	Disagree	Agree	Strongly Agree

15. Most people tend to dislike work.

1 2 3 4	5 6 7 8	9 10 11 12	13 14 15 16
Strongly Disagree	Disagree	Agree	Strongly Agree

16. People will exercise self-direction and self-control in the service of objectives to which they are committed.

1 2 3 4	5 6 7 8	9 10 11 12	13 14 15 16
Strongly Disagree	Disagree	Agree	Strongly Agree

17. The average human being usually prefers security above almost everything else.

1 2 3 4	5 6 7 8	9 10 11 12	13 14 15 16
Strongly Disagree	Disagree	Agree	Strongly Agree

18. The average human being tends to seek responsibility.

1 2 3 4	5 6 7 8	9 10 11 12	13 14 15 16
Strongly Disagree	Disagree	Agree	Strongly Agree

19. The average human tends to have relatively little ambition.

1 2 3 4	5 6 7 8	9 10 11 12	13 14 15 16
Strongly Disagree	Disagree	Agree	Strongly Agree

SELF TEST II-2

DIRECTIONS: Below are the six statements which you analyzed as your final exercise in Module I. Analyze each of these statements and categorize them as reflecting Theory X or Theory Y assumptions about people on the part of each hypothetical supervisor or manager. *Briefly* justify your choice.

Statement A: People are motivated by fear. If they know I can or will fire them, they will do what I say. As long as they don't know where they stand with me, they will work harder in order to feel more secure.

Statement B: People are primarily motivated by money. As long as they are paid well, and are financially rewarded for good performance, they are motivated to improve.

Statement C: People are motivated by each other and behave in ways that will please their fellow workers. As long as conditions allow for a congenial work group, they will be motivated to work well.

Statement D: People are motivated when they are given as much freedom and latitude to perform their activities and duties as possible. They should be allowed to make decisions for themselves, and they will be self-motivating.

Statement E: People like to have clear directions and know precisely what is expected of them. They need structure and direction to motivate them to perform.

Statement F: People like to feel that they are important, so I take every opportunity I can to compliment them, and ask their opinions. Most people are motivated when they think they are being listened to.

SELF TEST II-3

A PERSONAL EXPERIENCE

Please write out an answer to each of the following questions. Take only a few minutes to complete your answers.

1. Think of a time on your job when you felt *particularly good.* Describe the circumstances briefly and explain *why* you felt particularly good.

2. Think of a time on your job when you felt *particularly bad.* Describe the circumstances briefly and explain *why* you felt particularly bad.

Name: ______________________________

EXERCISE II-1

DIRECTIONS:

1. Read Case Study II-1: "A New Position" on page II-24.
2. Answer each of the following questions using the reverse side of the page and additional paper if necessary.
3. When completed to your satisfaction, be sure to make a copy for your records. Then place the original in an envelope and mail it for review by your Faculty Evaluator to:

Motivation: A Vital Force in the Organization
CLENE Home Study Project
P.O. Box 1228
620 Michigan Avenue, N.E.
Washington, DC 20064

Question 1: Speculate on the intensity of Jane X's various needs as suggested in the Case Study.

Question 2: Relate Jane X's situation to Herzberg's hygiene/motivation theory.

Question 3: Relate Jane X's situation to McClelland's research findings.

Question 4: Based upon your studies thus far, comment upon Mary Y's performance as a supervisor.

Name: ______________________________
(optional)

EVALUATION OF MODULE II

Now that you have completed this module, we would appreciate having your reactions and critical comments. Please answer the questions below and feel free to make additional comments. If more space is needed, continue on the back of this page. Please mail to:

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1. All things considered, how would you rate this module?

1	2	3	4
excellent	good	mediocre	poor

2. Were the directions and the instructions included throughout the module sufficient?

1	2	3	4
ample	sufficient	minimally sufficient	insufficient

3. Was the material presented in a logical form?

1	2	3	4
very logical	reasonably logical	minimally logical	illogical

4. Was there a sufficient variety of activities?

1	2	3	4
ample variety	sufficient	minimally sufficient	insufficient

5. Did the module contain the right amount of material?

1	2	3	4
too much	just right	about right	too little

6. What was the best thing about this module?

7. What was the worst thing about this module?

Additional Comments:

How many hours did you spend completing this module? [______ hours]

Motivation: A Vital Force in the Organization

A HOME-BASED STUDY COURSE FOR LIBRARY/MEDIA/INFORMATION PERSONNEL

Module II: Individual Needs: Organizational Responses

Readings for Module II

Produced by:

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The Human Side of Enterprise

DOUGLAS MURRAY McGREGOR

IT HAS BECOME trite to say that industry has the fundamental know-how to utilize physical science and technology for the material benefit of mankind, and that we must now learn how to utilize the social sciences to make our human organizations truly effective.

To a degree, the social sciences today are in a position like that of the physical sciences with respect to atomic energy in the thirties. We know that past conceptions of the nature of man are inadequate and, in many ways, incorrect. We are becoming quite certain that, under proper conditions, unimagined resources of creative human energy could become available within the organizational setting.

We cannot tell industrial management how to apply this new knowledge in simple, economic ways. We know it will require years of exploration, much costly development research, and a substantial amount of creative imagination on the part of management to discover how to apply this growing knowledge to the organization of human effort in industry.

MANAGEMENT'S TASK: THE CONVENTIONAL VIEW

The conventional conception of management's task in harnessing human energy to organizational requirements can be stated broadly in terms of three propositions. In order to avoid the complications introduced by a label, let us call this set of propositions *Theory X*:

1. Management is responsible for organizing the elements of productive enterprise—money, materials, equipment, people—in the interest of economic ends.
2. With respect to people, this is a process of directing their efforts, motivating them, controlling their actions, modifying their behavior to fit the needs of the organization.
3. Without this active intervention by management, people would be passive, even resistant, to organizational needs. They must therefore be persuaded, rewarded, punished, controlled—their activities must be directed. This is management's task. We often sum it up by saying that management consists of getting things done through other people.

Behind this conventional theory there are several additional beliefs—less explicit, but widespread:

4. The average man is by nature indolent—he works as little as possible.
5. He lacks ambition, dislikes responsibility, prefers to be led.
6. He is inherently self-centered, indifferent to organizational needs.
7. He is by nature resistant to change.
8. He is gullible, not very bright, the ready dupe of the charlatan and the demagogue.

The human side of economic enterprise today is fashioned from propositions and beliefs such as these. Conventional organization structures and managerial policies, practices, and programs reflect these assumptions. In accomplishing its task, with these assumptions as guides, management has conceived of a range of possibilities.

At one extreme, management can be "hard" or "strong." The methods for directing behavior involve coercion and threat (usually disguised), close supervision, tight controls over behavior. At the other extreme, management can be "soft" or "weak." The methods for directing behavior involve being permissive, satisfying people's demands, achieving harmony. Then they will be tractable, accept direction.

This range has been fairly completely explored during the past half century, and management has learned some things from the exploration. There are difficulties in the "hard" approach. Force breeds counter forces: restriction of output, antagonism, militant unionism, subtle but effective sabotage of management objectives. This "hard" approach is especially difficult during times of full employment.

There are also difficulties in the "soft" approach. It leads frequently to the abdication of management—to harmony, perhaps, but to indifferent performance. People take advantage of the soft approach. They continually expect more, but they give less and less.

Currently, the popular theme is "firm but fair." This is an attempt to gain the advantages of both the hard and the soft approaches. It is reminiscent of Teddy Roosevelt's "speak softly and carry a big stick."

②

IS THE CONVENTIONAL VIEW CORRECT?

The findings which are beginning to emerge from the social sciences challenge this whole set of beliefs about man and human nature and about the task of management. The evidence is far from conclusive, certainly, but it is suggestive. It comes from the laboratory, the clinic, the schoolroom, the home, and even to a limited extent from industry itself.

The social scientist does not deny that human behavior in industrial organization today is approximately what management perceives it to be. He has, in fact, observed it and studied it fairly extensively. But he is pretty sure that this behavior is *not* a consequence of man's inherent nature. It is a consequence rather of the nature of industrial organizations, of management philosophy, policy, and practice. The conventional approach of Theory X is based on mistaken notions of what is cause and what is effect.

Perhaps the best way to indicate why the conventional approach of management is inadequate is to consider the subject of motivation.

Physiological Needs

Man is a wanting animal; as soon as one of his needs is satisfied, another appears in its place. This process is unending. It continues from birth to death.

Man's needs are organized in a series of levels—a hierarchy of importance. At the lowest level, but preeminent in importance when they are thwarted, are his *physiological needs.* Man lives for bread alone when there is no bread. Unless the circumstances are unusual, his needs for love, for status, for recognition are inoperative when his stomach has been empty for a while. But when he eats regularly and adequately, hunger ceases to be an important motivation. The same is true of the other physiological needs of man—rest, exercise, shelter, protection from the elements.

A satisfied need is not a motivator of behavior! This is a fact of profound significance that is regularly ignored in the conventional approach to the management of people. Consider your own need for air: Except as you are deprived of it, it has no appreciable motivating effect upon your behavior.

Safety Needs

When the physiological needs are reasonably satisfied, needs at the next higher level begin to dominate man's behavior—to motivate him. These are called *safety needs.* They are needs for protection against danger, threat, deprivation. Some people mistakenly refer to these as needs for security. However, unless man is in a dependent relationship where he fears arbitrary deprivation, he does not demand security. The need is for the "fairest possible break." When he is confident of this, he is more than willing to take risks. But when he feels threatened or dependent, his greatest need is for guarantees, for protection, for security.

The fact needs little emphasis that, since every industrial employee is in a dependent relationship, safety needs may assume considerable importance. Arbitrary management actions, behavior which arouses uncertainty with respect to continued employment or which reflects favoritism or discrimination, unpredictable administration of policy—these can be powerful motivators of the safety needs in the employment relationship *at every level,* from worker to vice president.

Social Needs

When man's physiological needs are satisfied and he is no longer fearful about his physical welfare, his *social needs* become important motivators of his behavior—needs for belonging, for association, for acceptance by his fellows, for giving and receiving friendship and love.

Management knows today of the existence of these needs, but it often assumes quite wrongly that they represent a threat to the organization. Many studies have demonstrated that the tightly knit, cohesive work group may, under proper conditions, be far more effective than an equal number of separate individuals in achieving organizational goals.

Yet management, fearing group hostility to its own objectives, often goes to considerable lengths to control and direct human efforts in ways that are inimical to the natural "groupiness" of human beings. When man's social needs—and perhaps his safety needs, too—are thus thwarted, he behaves in ways which tend to defeat organizational objectives. He becomes resistant, antagonistic, uncooperative. But this behavior is a consequence, not a cause.

Ego Needs

Above the social needs, in the sense that they do not become motivators until lower needs are reasonably satisfied, are the needs of greatest significance to management and to man himself. They are the *egoistic needs,* and they are of two kinds:

1. Those needs that relate to one's self-esteem—needs for self-confidence, for independence, for achievement, for competence, for knowledge.
2. Those needs that relate to one's reputation—needs for status, for recognition, for appreciation, for the deserved respect of one's fellows.

Unlike the lower needs, these are rarely satisfied; man seeks indefinitely for more satisfaction of these needs once they have become important to him. But they do not appear in any significant way until physiological, safety, and social needs are all reasonably satisfied.

The typical industrial organization offers few opportunities for the satisfaction of these egoistic needs to people at lower levels in the hierarchy. The conventional methods of organizing work, particularly in mass-production industries, give little heed to these aspects of human motivation. If the practices of scientific management were deliberately calculated to thwart these needs, they could hardly accomplish this purpose better than they do.

Self-Fulfillment Needs

Finally—a capstone, as it were, on the hierarchy of man's needs—there are what we may call the *needs for self-fulfillment.* These are the needs for realizing one's own potentialities, for continued self-development, for being creative in the broadest sense of that term.

It is clear that the conditions of modern life give only limited opportunity for these relatively weak needs to obtain expression. The deprivation most people experience with respect to other lower-level needs diverts their energies into the struggle to satisfy *those* needs, and the needs for self-fulfillment remain dormant.

MANAGEMENT AND MOTIVATION

We recognize readily enough that a man suffering from a severe dietary deficiency is sick. The deprivation of physiological needs has behavioral consequences. The same is true—although less well recognized—of deprivation of higher-level needs. The man whose needs for safety, association, independence, or status are thwarted is sick just as surely as the man who has rickets. And his sickness will have behavioral consequences. We will be mistaken if we attribute his resultant passivity, his hostility, his refusal to accept responsibility to his inherent "human nature." These forms of behavior are *symptoms* of illness—of deprivation of his social and egoistic needs.

The man whose lower-level needs are satisfied is not motivated to satisfy those needs any longer. For practical purposes they exist no longer. Management often asks, "Why aren't people more productive? We pay good wages, provide good working conditions, have excellent fringe benefits and steady employment. Yet people do not seem to be willing to put forth more than minimum effort."

The fact that management has provided for these physiological and safety needs has shifted the motivational emphasis to the social and perhaps to the egoistic needs. Unless there are opportunities *at work* to satisfy these higher-level needs, people will be deprived, and their behavior will reflect this deprivation. Under such conditions, if management continues to focus its attention on physiological needs, its efforts are bound to be ineffective.

People *will* make insistent demands for more money under these conditions. It becomes more important than ever to buy the material goods and services which can provide limited satisfaction of the thwarted needs. Although money has only limited value in satisfying many higher-level needs, it can become the focus of interest if it is the *only* means available.

The Carrot-and Stick Approach

The carrot-and-stick theory of motivation (like Newtonian physical theory) works reasonably well under certain circumstances. The *means* for satisfying man's physiological and (within limits) his safety needs can be provided or withheld by management. Employment itself is such a means, and so are wages, working conditions, and benefits. By these means the individual can be controlled so long as he is struggling for subsistence.

But the carrot-and-stick theory does not work at all once man has reached an adequate subsistence level and is motivated primarily by higher needs. Management cannot provide a man with self-respect, or with the respect of his fellows, or with the satisfaction of needs for self-fulfillment. It can create such conditions that he is encouraged and enabled to seek such satisfactions *for himself*, or it can thwart him by failing to create those conditions.

But this creation of conditions is not "control." It is not a good device for directing behavior. And so management finds itself in an odd position. The high standard of living created by our modern technological knowhow provides quite adequately for the satisfaction of physiological and safety needs. The only significant exception is where management practices have not created confidence in a "fair break"—and thus where safety needs are thwarted. But by making possible the satisfaction of low-level needs, management has deprived itself of the ability to use as motivators the devices on which conventional theory has taught it to rely—rewards, promises, incentives, or threats and other coercive devices.

The philosophy of management by direction and control—*regardless of whether it is hard or soft*—is inadequate to motivate because the human needs on which this approach relies are today unimportant motivators of behavior. Direction and control are essentially useless in motivating people whose important needs are social and egoistic. Both the hard and the soft approach fail today because they are simply irrelevant to the situation.

People, deprived of opportunities to satisfy at work the needs which are now important to them, behave exactly as we might predict—with indolence, passivity, resistance to change, lack of responsibility, willingness to follow the demagogue, unreasonable demands for economic benefits. It would seem that we are caught in a web of our own weaving.

A NEW THEORY OF MANAGEMENT

For these and many other reasons, we require a different theory of the task of managing people based on more adequate assumptions about human nature and human motivation. I am going to be so bold as to suggest the broad dimensions of such a theory. Call it *Theory Y*, if you will.

1. Management is responsible for organizing the elements of productive enterprise—money, materials, equipment, people—in the interest of economic ends.
2. People are *not* by nature passive or resistant to organizational needs. They have become so as a result of experience in organizations.
3. The motivation, the potential for development, the capacity for assuming responsibility, the readiness to direct behavior toward organizational goals are all present in people. Management does not put them there. It is a responsibility of management to make it possible for people to recognize and develop these human characteristics for themselves.
4. The essential task of management is to arrange organizational conditions and methods of operation so that people can achieve their own goals *best* by directing *their own* efforts toward organizational objectives.

This is a process primarily of creating opportunities, releasing potential, removing obstacles, encouraging growth, providing guidance. It is what Peter Drucker has called "management by objectives" in contrast to "management by control." It does *not* involve the abdication of management, the absence of leadership, the lowering of standards, or the other characteristics usually associated with the "soft" approach under Theory X.

Some Difficulties

It is no more possible to create an organization today which will be a full, effective application of this theory than it was to build an atomic power plant in 1945. There are many formidable obstacles to overcome.

The conditions imposed by conventional organization theory and by the approach of scientific management for the past half century have tied men to limited jobs which do not utilize their capabilities, have discouraged the acceptance of responsibility, have encouraged passivity, have eliminated meaning from work. Man's habits, attitudes, expectations—his whole conception of membership in an industrial organization—have been conditioned by his experience under these circumstances.

People today are accustomed to being directed, manipulated, controlled in industrial organizations and to finding satisfaction for their social, egoistic, and self-fulfillment needs away from the job. This is true of much of management as well as of workers. Genuine "industrial citizenship" (to borrow again a term from Drucker) is a remote and unrealistic idea, the meaning of which has not even been considered by most members of industrial organizations.

Another way of saying this is that Theory X places exclusive reliance upon external control of human behavior, while Theory Y relies heavily on self-control and self-direction. It is worth noting that this difference is the difference between treating people as children and treating them as mature adults. After generations of the former, we cannot expect to shift to the latter overnight.

Steps in the Right Direction

Before we are overwhelmed by the obstacles, let us remember that the application of theory is always slow. Progress is usually achieved in small steps. Some innovative ideas which are entirely consistent with Theory Y are today being applied with some success.

Decentralization and Delegation. These are ways of freeing people from the too-close control of conventional organization, giving them a degree of freedom to direct their own activities, to assume responsibility, and, importantly, to satisfy egoistic needs. In this connection, the flat organization of Sears, Roebuck and Company provides an interesting example. It forces "management by objectives," since it enlarges the number of people reporting to a manager until he cannot direct and control them in the conventional manner.

Job Enlargement. This concept, pioneered by I.B.M. and Detroit Edison, is quite consistent with Theory Y. It encourages the acceptance of responsibility at the bottom of the organization; it provides opportunities for satisfying social and egoistic needs. In fact, the reorganization of work at the factory level offers one of the more challenging opportunities for innovation consistent with Theory Y.

Participation and Consultative Management. Under proper conditions, participation and consultative management provide encouragement to people to direct their creative energies toward organizational objectives, give them some voice in decisions that affect them, provide significant opportunities for the satisfaction of social and egoistic needs. The Scanlon Plan is the outstanding embodiment of these ideas in practice.

Performance Appraisal. Even a cursory examination of conventional programs of performance appraisal within the ranks of management will reveal how completely consistent they are with Theory X. In fact, most such programs tend to treat the individual as though he were a product under inspection on the assembly line.

A few companies—among them General Mills, Ansul Chemical, and

General Electric—have been experimenting with approaches which involve the individual in setting "targets" or objectives *for himself* and in a *self*-evaluation of performance semiannually or annually. Of course, the superior plays an important leadership role in this process—one, in fact, which demands substantially more competence than the conventional approach. The role is, however, considerably more congenial to many managers than the role of "judge" or "inspector" which is usually forced upon them. Above all, the individual is encouraged to take a greater responsibility for planning and appraising his own contribution to organizational objectives; and the accompanying effects on egoistic and self-fulfillment needs are substantial.

Applying the Ideas

The not infrequent failure of such ideas as these to work as well as expected is often attributable to the fact that a management has "bought the idea" but applied it within the framework of Theory X and its assumptions.

Delegation is not an effective way of exercising management by control. Participation becomes a farce when it is applied as a sales gimmick or a device for kidding people into thinking they are important. Only the management that has confidence in human capacities and is itself directed toward organizational objectives rather than toward the preservation of personal power can grasp the implications of this emerging theory. Such management will find and apply successfully other innovative ideas as we move slowly toward the full implementation of a theory like Y.

THE HUMAN SIDE OF ENTERPRISE

It is quite possible for us to realize substantial improvements in the effectiveness of industrial organizations during the next decade or two. The social sciences can contribute much to such developments; we are only beginning to grasp the implications of the growing body of knowledge in these fields. But if this conviction is to become a reality instead of a pious hope, we will need to view the process much as we view the process of releasing the energy of the atom for constructive human ends—as a slow, costly, sometimes discouraging approach toward a goal which would seem to many to be quite unrealistic.

The ingenuity and the perseverance of industrial management in the pursuit of economic ends have changed many scientific and technological dreams into commonplace realities. It is now becoming clear that the application of these same talents to the human side of enterprise will not only enhance substantially these materialistic achievements, but will bring us one step closer to "the good society."

Management from a Behavioral Science viewpoint

David Caucci and James Comes, "Management from a Behavioral Science Viewpoint." Reprinted with permission from: *Focus on Indiana Libraries*, 27 (Summer 1973), 36-43.

David Caucci
James Comes

⑥

The purpose of this article is to identify and describe information from the behavioral sciences that will inform and clarify what is known about how humans function in work environments and, thereby, help to facilitate management activities. There is a growing realization that the employee today is different from employees of previous generations. He appears to have different values and different needs than his predecessor. Managing this new man has become increasingly difficult, and the desired results that management seeks are less than adequate.

In an attempt to explain and solve these phenomena, managers have increasingly turned to the behavioral sciences, whose prime concern is the understanding of human behavior. Essentially, the behavioral sciences are concerned with the systematic study of human behavior and should not be confused with the stimulus-response school of psychology known as "behaviorism." The behavioral sciences do not present a neatly defined theory of human behavior, rather they seek to explain how individuals organize and relate with others and to predict how most people are likely to behave under a given set of conditions.

Our society is an organizational society. We are born in organizations and when we die we are buried by one or more organizations. During our life we are educated in, most of us work for and much of our leisure time is spent or controlled by organizations. We consider the organizational way of life to be the most rational, effective, and efficient method of social grouping. ***Footnote***

It is evident that is a considerable amount of stress and strain generated concerning the organization's needs and the individual's needs—between effectiveness, efficiency, and satisfaction. For this reason, it is our belief that all organizations should be structured according to what is known about how humans function under certain environmental or work conditions and in accordance with the objectives or goals of the organization.

The quest for greater production and more efficient use of the labor force has been with us for some time. As early as 1776, the division of labor concept was illustrated by Adam Smith in The Wealth of Nations. Smith described the output of one lone pin-maker at 20 pins per day with that of ten pin-makers at 48,000 pins per day and showed that by breaking the task of pin production into simple operation, how production could be dramatically increased. About 75 years ago the search for greater, organizational effectiveness and efficiency gave rise to a school of though lead by Fredrick Taylor known as Scientific Management, which was based on the concept of division of labor.

Scientific Management has the underlying assumption that if a task can be broken down into its simplest component parts, the more specialized and skilled a worker can become. The more skilled the worker is in fulfilling his task, the more efficient the productions system will be.

Scientific management, however, went beyond the concept of division of labor and included both a theory of motivation and of organization. The advocates of Scientific Management assumed that workers were motivated exclusively by economic rewards and didn't recognize any conflict between man and organization. What was good for management was good for the worker. Higher productivity leads to higher profits which leads to higher pay and thus greater worker satisfaction. Hard and efficient labor was best for both groups.

The focus was placed on the physical characteristics and capabilities of the worker through the use of time and motion studies and searched to discover work patterns that were more efficient and less fatiguing thereby allowing greater production in a given unit of time, thus:

both hands should be used simultaneously,

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smooth continuous motions are more efficient than sudden jerky ones,
proper illumination will increase productivity, and
all tools and materials should be in a definite and fixed location.

Taylor further assumed that if economic rewards are directly related to work efforts, maximum performance could be expected from the worker. Man was viewed as driven by fear, hunger, and economic rewards, thus:

payment should be associated with output,
payment should be on merit or competence, and
the unit of time between work and reward should be as short as possible—

ideally piecework, hourly, and monthly payments would be used respectively.

Paralleling the division of labor went the concept of unity of control. Work was broken up into tasks by a central authority in accordance with a master plan. Each unit had a supervisor, a supervisor to supervise the supervisor etc. This resulted in a pyramidal structure and a top executive who controlled from a center authority.

How the work was to be distributed among the production units was not universally agreed upon, however, it was felt that optimum productivity could be achieved by one of the following methods:

specialization by purpose of task,
processes should be grouped together inasmuch as special knowledge, skills, and procedures overlap,
all work serving a specific type of clientele should be grouped together, and
all tasks performed in the same geographical area are grouped together.

The concept of Scientific Management has evolved from the above tenets and now places the emphasis on organizational analysis why some organizations are more effective than others and what can be done to make organizations more effective rather than prescribing a "right" structure for all organizations.

Assumption of Scientific Management:

The most efficient organization will be the most satisfying.

The element of Human Relations in organizational structures was generated as a reaction to Scientific Management. Lead by Elton Mayo, Kurt Lewis, and John Dewey, Human Relations emphasized social grouping and friendship, the importance of communications, participation, leadership, and informal organization as significant variables of organizational behavior. These variables were documented by a series of research experiments, the most notable being the Hawthorne studies conducted at Western Electric from 1927 to 1932.

The Hawthorne studies questioned virtually all the assumptions of Scientific Management and came to the following conclusions regarding organizations and motivation:

The level of production is not set by physiological capacities, but rather by social norms,
workers do not act or react toward management as individuals, but rather as members of groups,
non-economic rewards are the major variable in determining worker motivation and happiness,
there is a significant difference between styles of leadership, favoring the democratic style over the authoritarian style, and
communication between the ranks and workers participation in decision-making is of great importance.

Thus it was determined that workers have needs beyond the economic sphere as believed by the advocates of Scientific Management and it was reasoned that the most satisfying organization would be the most effective.

Assumption of Human Relations:

The most satisfying organization will be the most efficient.

The Structuralist approach to organization and motivation integrated and related the concepts of the Scientific Management and Human Relation's schools. Structuralism views organizations as large, complex social units within which many social groups interact. In areas where group interests are shared, the groups cooperate: where their interests are incompatible, they compete.

Seldom is there a group that function without conflict. However, rather than viewing conflict as an undesirable element, the structuralists stress the positive values of conflict for the organization. Thus, through the expression of conflict, differing interests and beliefs emerge. These differences lead to a test of strength, thereby requiring organizational adjustments to be made—not unlike the process of natural selection.

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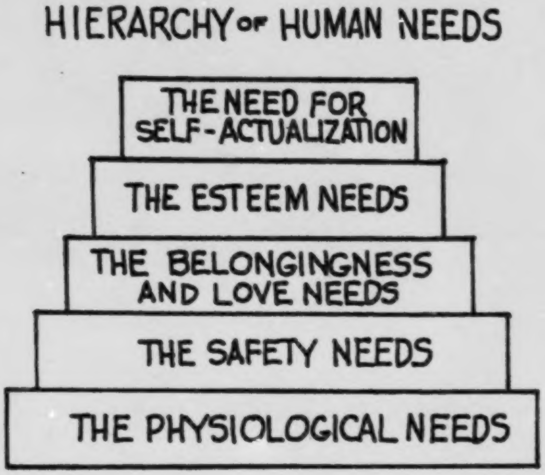
If the conflicts resulting from differences of interests and beliefs are not dealt with in an open manner, they will seek other outlets which might not be as productive in helping the organization meet its goals. The increased communication, participation, and socialization will tend to improve the worker's satisfaction with his job and ultimately reflect upon the organization's effectiveness in accomplishing its goals. To enable this socialization to occur, the worker must identify with and incorporate into his value system the goals, policies, and objectives of the organization. If identification and assimulation does not occur, recognition by superiors could be cause for a source of ridicule or ostracism on the part of peers such as in the case of a student who becomes a "teacher's pet" in the eyes of fellow students.

In summary, it is evident that the schools of Scientific Management, Human Relations, and Structuralism have differing views of organizations, which are based upon different concepts of man and society.

Probably the most widely known theory of motivation is that put forth by A. H. Maslow. According to Maslow, each individual has a set of motivational needs based on his talents, temperament, skills, capacities and experiences. These needs are ordered in term of strength and are arranged in a hierarchy where the strongest physiological needs, such as hunger and thirst, must be satisfied first.

Maslow's theory of need motivation is based on the concept of psychological growth, whereby the individual gradually climbs the hierarchy of basic needs. Each of the five levels deals with a broad category of reinforcers and as each level of the hierarchy is satisfied, the next level becomes prepotent. The hierarchy culminates with the individual's need for self-actualization.



The Physiological Needs

Basic physiological needs such as air, food, water, and sex are potent instigators of behavior. When these physiological needs are genuine, all behavior will be determined by their satisfaction. However, in most instances, society provides for the basic physiological needs and actual deprivation is rare, therefore, physiological needs seldom act as motivators of human behavior.

The Safety Needs

If the physiological needs are generally met, the individual aspires to provide for his safety needs. Inasmuch as society protects us from threats, dangers, attacks from animals and criminal assault, murder, and tyranny from other humans, safety needs seldom act as motivators for most of us. However, safety needs extend beyond physiological threats, and include psychological safety needs. Often individuals from the lowest economic and social levels perceive situations as threatening their existence and safety. The behavioral expression of threats to these safety needs takes the form of a desire for decent housing, adequate employment opportunities, adequate wages etc., and have played an important part in social upheavals in this and other countries. Satisfaction of the safety needs will open the door for expression of the next higher level of needs.

The Belongingness and Love Needs

The belongingness and love needs encompass all desires for social contact and relations with people. Included are acceptance by others and achievement of some degree of status within the groups in which the individual is accepted. Lack of satisfaction of the love and belonging need is the most common source of psychological maladjustment.

The Esteem Needs

Each individual has a need for self-respect and a need for the respect of others. The need for self-respect is expressed through an individual's sense of achievement, adequacy, confidence, and the respectful evaluation of oneself. Recognition, attention, prestige and status fulfills our need for respect from others. When the esteem needs are satisfied, we feel confident and worthwhile. Likewise, we feel inferior and helpless when our needs for esteem are thwarted.

Self-Actualization

Self-actualizing individuals are those individuals who are gratified in all their basic needs. In his attempt to develop a theory of human nature and motivation, Maslow studied and tried to understand individuals of greatness—the best specimens mankind had to offer. He determined that the previously mentioned levels of motivational needs are biologically necessary inasmuch as the person must satisfy these needs in order to avoid illness, diminution of humaneness, and in order to satisfy the higher need of self-actualization. The higher order needs of self-actualizing individuals are known as "metaneeds" or metamotivation" and are displayed when an individual strives to fulfill his potential and become whatever he must become.

While self-actualization remains a poorly specified and little understood concept, Maslow has identified and described four characteristics of a self-actualized person as honesty, awareness, freedom, and trust. In describing self-actualizing individuals, Maslow found them to be dedicated people who were devoted to some task, calling vocation, or beloved work which tended to label and define the characteristics of the individual. For a self-actualized person, the ordinary dichotomy between work and play is transcended. His work is his play and his play is his work. Those who are not self-actualized use their work to achieve satisfaction of basic needs, as a means to an end, out of habit, or as a response to a cultural expectation.

Anyone involved with people in organizations should come to terms with Douglas McGregor and his Theory X and Theory Y. While professor of management at the School of Industrial Management, Massachusetts Institute of Technology, McGregor articulated his famous twin theories. Borrowed from the psychological theorists of self-actualization, especially Maslow, a new theory of power and a new set of values were postulated. They challenged the industrial work place to abandon its present dehuminization of work and tap man's creative potential. Many organizations are geared for men who make a very childlike adjustment to life. Millions of grown men and women are expected to do just what they are told, spending forty hours a week depressing their brain-power in order to maintain a system that is not nearly as efficient as it looks.

In the folklore of management, it is believed that the behavior of the subordinate can be effectively controlled. According to McGregor, people are motivated by their own needs to a much greater extent than they are motivated by the pressures that management can bring to bear. How many times have well-thought-out policies gone astray because people did not understand them or did not implement them properly? It is assumed that management's values and logic are shared by the people who implement policies. These values and logic represent unconscious assumptions about human nature and the strategies that are utilized in managing people in organizations. Assumptions about human nature and behavior underlying these strategies which McGregor listed under Theory X are:

> the average person does not like to work and will avoid it.
> because of the person's dislike for work, management must coerce, direct their efforts, and modify their behavior to fit the needs of the organization, and
> the average man lacks ambition, dislikes responsibility, resists change and is inherently self-centered.

Utilizing these assumptions about human motivation, management of the worker is a matter of vigilance, catering to his security needs with fringe benefits and threatening him with dismissal. Even though these assumptions may be obsolete, they continue to have a broad influence in American industry.

Essentially an authoritarian point of view, much of the literature on principles of organization emphasized centralized authority and controls and took these assumptions for granted. It has been assumed for a number of years that Theory X explained or described human nature, however, it only brings forth the consequences of a particular managerial style. This style encompasses the framework of thinking about people which managers unconsiciously carry with them. Its affect on the workers might be called a self-fulfilling prophecy. If the employee is expected to be lazy, passive or difficult to control and is treated accordingly, he will probably meet those expectations. The achievement of control will result in placid, but not fully productive employees—compliant, but not creative. American industry has been able to satisfy the employee's physiological and safety needs, but by making possible the satisfaction of lower level needs, management has deprived itself of the ability to utilize the control devices on which the conventional assumptions of Theory X had taught it to rely: rewards, promised, incentives or threats and other coercive devices. Chris Argyris has succinctly pointed out that conventional managerial organizational strategies of direction and control of human resources are admirably suited to the capabilities and characteristics of the child rather than the adult.

Instead of infantilizing the worker, McGregor feels that the manager who is looking for reasonable improvements would be well advised to consider Theory Y. Theory Y may be defined as:

> the individual is not passive or resistant to work by nature, but develops an attitude toward it based on their past experience,
> the capacity for assuming responsibility, the potential for development, the readiness to direct behavior toward organizational goals are present in all people,
> the worker will select goals for himself if he sees the possibility of some kind of a reward, and
> the capacity to exercise imagination, ingenuity, and creativity is widely distributed in the population.

These assumptions require the manager to work with a different managerial strategy than do those of Theory X. Theory Y is an invitation to innovation. It is dynamic rather than static. It represents the individual with the opportunity for human growth and development and stresses the necessity for adaptation rather than holding to one form of control. The manager cannot view the factory employee in terms of the least common denominator, but in terms of a resource which has substantial potentialities.

The assumptions of Theory Y are not limited by the amount of human collaboration in the work environment but by management's ingenuity in discovering how to realize the potential represented by its human resources. Theory X allows management an obvious solution to poor performance: It is due to the human resources with which we must work. However, if the employee is lazy, dislikes responsibility, prefers to be led, resists change and is self-centered: Theory Y implies the cause lies with management's approach to organization and control.

X and Y Assumptions About People

Traditional (X)	**Potential (Y)**
People are naturally lazy, they prefer to do nothing.	***People are naturally active; they set goals and enjoy striving.***
People work mostly for money and status rewards.	***People seek many satisfactions in work; pride in achievement; enjoyment of process; sense of contribution; pleasure in association; stimulation of new challenges, etc.***
The main force keeping people productive in their work is fear of being demoted or fired.	***The main force keeping people productive in their work is desire to achieve their personal and social goals.***

People remain children grown larger; they are naturally dependent on leaders.	*People normally mature beyond childhood; they aspire to independence; self-fulfillment, responsibility.*
People expect and depend on direction from above; they do not want to think for themselves.	*People close to the situation see and feel what is needed and are capable of self-direction.*
People need to be told, shown and trained in proper methods of work.	*People who understand and care about what they are doing can devise and improve their own methods of doing work.*
People need supervisors who will watch them closely enough to be able to praise good work and reprimand errors.	*People need a sense that they are respected as capable of assuming responsibility and self-correction.*
People have little concern beyond their immediate, material interests.	*People seek to give meaning to their lives by identifying with nations, communities, churches, unions, companies, causes.*
People need specific instruction on what to do and how to do it; larger policy issues are none of their business.	*People need ever-increasing understanding; they need to grasp the meaning of the activities in which they are engaged; they have cognitive hunger as extensive as the universe.*
People appreciate being treated with courtesy.	*People crave genuine respect from their fellow men.*
People are naturally compartmentalized; work demands are entirely different from leisure activities.	*People are naturally integrated; when work and play are too sharply separated both deteriorate; "The only reason a wise man can give for preferring leisure to work is the better quality of the work he can do during leisure."*
People naturally resist change; they prefer to stay in the old ruts.	*People naturally tire of monotonous routine and enjoy new experiences; in some degree everyone is creative.*
⑩ *Jobs are primary and must be done; people are selected, trained, and fitted to predefined jobs.*	*People are primary and seek self-realization; jobs must be designed, modified and fitted to people.*
People are formed by heredity, childhood and youth; as adults thy remain static; old dogs don't learn new tricks.	*People constantly grow; it is never too late to learn; they enjoy learning and increasing their understanding and capability.*
People need to be "inspired" (pep talk) or pushed or driven.	*People need to be released and encouraged and assisted.*

Many of us would probably feel that we are Theory Y oriented and rebuke anyone who tried to tell us differently. After all, don't we work within a management by objectives program, encourage input from our employees, and have "decentralized" operations? However, examined more closely, it is apparent that these maneuvers will not bring us to the human side of enterprise because managers have a limited understanding of the way in which they affect other people's feelings and their role as a manager. Before a manager can effectively deal in a trustful and faithful manner with others, he must become more sensitive to his own and other's needs and interests.

Using Maslow's need hierarchy and McGregor's Theory Y as a basis, Frederick Herzberg, a Case-Western Reserve University professor of psychology has conceptualized a theory which is offered as a definition of man's total needs based on the world of work.

Herzberg's motivation-hygiene theory is based on many validated and replicated research studies involving all types of jobs (professional and blue collar) and provides insights that should be immediately helpful to supervisors and managers by relating organizational policies to the effective management and utilization of men at work.

Motivation-hygiene related research has shown that man has two distinct sets of needs—the basic biological need to avoid dissatisfying situations in the environment and the need for psychological growth and self-fulfillment through the accomplishment of tasks. Events that cause or prevent job dissatisfaction are known as hygiene factors, while the events that are related to job satisfaction are called motivators. It is important to note that the factors involved in providing job dissatisfaction are entirely separate and distinct from those factors producing job satisfaction. A hygienic environment prevents discontent with a job, however it does not create a motivated employee. Research has identified the following five factors as strong determiners of job dissatisfaction and job satisfaction respectively:

Dissatisfiers	***Satisfiers***
Company policy and administration	***Achievement***
Supervision	***Recognition***
Interpersonal relations	***Work itself***
Working conditions	***Responsibility***
Salary	***Advancement***

Satisfiers are concerned with what the person does, while the dissatisfiers relate to the situation in which he does it.

Dissatisfiers or hygiene factors describe the environment in which an individual works: the kind of administration and supervision received, the nature of interpersonal relationships and working conditions surrounding the job and the effect of salary. Hygiene factors serve to prevent job dissatisfaction, however, they do not possess the elements necessary for giving an individual a sense of psychological growth and thus have very little effect in motivating individuals. Dissatisfaction and satisfaction are not opposites of each other, rather, the opposite of job dissatisfaction is no job dissatisfaction.

Satisfiers or motivating factors describe the employee's relationship to what he does: the content of his job, achievement of a task, and advancement. These factors create an atmosphere wherein an individual can achieve a task that has meaning for him and thus be activated toward self-fulfillment and psychological growth.

Traditional research has focused on hygiene factors, while the self-actualization and personal growth factors have been neglected, considered as irrelevant, or seen as too sacred or vague for research purposes.

While the most direct way to get an individual to do a particular task is to force them to do it, it must be realized that the KITA (kick in the ass) approach has a very short term effect. Regardless of whether the KITA is negative (a push) or positive (a pull), each and every time you want the employee to do a task YOU must push or pull to activate him. One of the most important functions of a manager is the development of motivated individuals who become their own managers. Unfortunately, we have viewed work environments from a very restricted perspective and have thus concentrated most of our efforts on hygienic factors which tend to have a short-term effect.

Hygiene seekers function at a less mature level of personal adjustment than motivated individuals and do not have active self-actualization needs. Instead, they are activated by the environment of the job rather than by its tasks. Underdevelopment of motivating factors further complicates the work environment by increasing the employee's sensitivity to real or imagined detrimental hygiene factors.

Another example of the interdisciplinary nature of the behavioral science approach to management is the work of Chris Argyris, who received his baccalureate in psychology, master's in economics and doctorate in organizational behavior. Argyris's major theme is the dichotomy of the individual's needs and organizational needs.

McGregor felt that the organization can frustrate human beings in the realization of their needs. Argyris agrees with this point, but carries the argument a step further and states that organizations may be the source and cause of human problems.

Argyris views the traditional industrial organization as preventing effectiveness and not meeting the organization's or the individual's needs. It is characterized by formally designated roles, division of labor, lines of authority and responsibility, rigidly defined communication channels and other formalities of traditional organizational structure. Combine these elements of structure with hierarcheal reporting relationships, job descriptions, budget limitations and controls, production schedules and a host of other variables and we have described traditional "scientific management" and many currently acceptable standard practices. Argyris feels that these tenets ignore the social and egoistic needs of the individual.

On individual's social and egoistic needs include a sense of personal value or self-esteem, a means of involvement of the self in creative work, a feeling of contributing on a worthwhile level to the efforts of the groups to which the employee belongs, recognition for this contribution, a feeling of accomplishment, the opportunity to participate in the planning, decision making, and execution of matters that effect him and the need for independence. Ignoring these needs results with the employee feeling submissive, subordinate and dependent.

These factors have a particular relevance to worker motivation. Argyris postulates that people cannot be motivated; by nature they are motivated. The problem for the company is the direction and form the motivation takes.

If the individual perceives that organizational objectives are placed before his personal needs, the psychological energy that he possess may be directed toward personal dissatisfaction, apathy, tension or overt subversion of the organization's objectives. Regardless of the energy expended, the net result is not a positively motivated work force. Thus, Argyris argues, the intended organizational form of most organizations generates serious unintended consequences.

If the unintended consequences are characteristic of the organization, he calls the organization unhealthy or sick. The principle variable in diagnosing the health of an organization is the direction the psychological energy takes. Argyris views organizations as living systems and has attempted to measure organizational health by using the following traits common to the individual and the organization: (1) Inputs, (2) Internal structure (interrelating and interdependent parts), (3) Functional processes, (4) Outputs, and (5) Feedback mechanisms.

Building on this theoretical foundation, Argyris develops his recurring theme of integration of the two organisms. If integration of two different entities is to be accomplished, some kind of change is implied on the part of both the individual and the organization. It should go beyond purley structural considerations and should involve behavioral changes in the people that populate the organization. In demanding change for both the individual and the organization, Argyris postulates a value centered change process known as a "mix model." In the mix model he postulates six organizational variables, juxtaposed to illustrate the contrasting directions that psychological energy may take to determine the degree of psychological health or sickness.

The Mix Model

Away from the Essential Properties	**Toward the Essential Properties**
1. One part controls the whole	***1. The whole is created and controlled through the interrelationships of all parts***
2. Awareness of plurality of parts	***2. Awareness of pattern of parts***
3. Achieving objectives related to the parts	***3. Achieving objectives related to the whole***
4. Unable to influence its internally oriented core activities	***4. Able to influence internally oriented core "it" desires***
5. Unable to influence its externally oriented core activities	***5. Able to influence externally oriented core activities "it" desires***
6. Nature of core activities influenced by the present	***6. Nature of core activities influenced by past, present and future***

Examining the left hand column, the source of power and influence in the organization leads to the pyramidal concept of power centered at the top. The "awareness of plurality of parts" implies a view of discreet units or departments within an organization without seeing each unit's function in relation to the total effort. The third variable underscores this point in that the units's objectives are self-serving, independent, and narrow. The fourth characteristic implies rigidity and inflexibility on the part of the organism that makes it unable to change, modify, and adapt its internal structure, roles, processes, or objectives to meet the demands of a constantly changing internal environment. "Externally oriented core activities" refers to the requirements of the outside environment, such as fluctuations in the economy or consumer buying trends. The sixth and final variable relates to a short sighted approach to achieving objectives, maintaining the internal system, and adapting for growth in the future.

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At the other extreme are the positive variables which emphasize distribution of power, awareness of over-all goals, cooperative effort, openness, flexibility, change as a means of growth, a planned strategy of change, goal setting, and decision making. Argyris states that these are essential properties of change and apply equally to individuals, to groups, and to organizations.

An overlapping theme of both Argyris and Herzberg is that of job enrichment Job enrichment attempts to bring about effective utilization of personnel by manipulating the factors affecting the work environment and the structure of the job rather than the employees. This necessitates the redesign of a wide range of jobs so that the individual's needs and objectives are in consonance with the objectives of the organization. If a job cannot be enriched, a possibility that exists, a greater degree of trust and commitment will be derived from the employee if management acknowledges this fact and levels with him.

According to Carl Jung, "man's supreme goal is to fulfill himself as a creative, unique individual according to his innate potentialities within the limits of reality. It would appear that the systematic application by managers of knowledge from the behavioral sciences to work environments would be very useful in the realization of this goal.

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DONALD J. MORTON

Applying Theory Y to Library Management

Theory Y is described as a desirable and widely accepted philosophy of personnel management. A review of library literature shows that its acceptance by librarians is relatively slight and that it is invariably considered to be the equivalent of participative management. The author disagrees with this comparison and believes that participative management has little effect upon the motivations associated with Theory Y. Instead, the author discusses several measures which he feels from experience can provide Theory Y benefits in library operations.

THEORY Y IS A TERM often used in personnel management to denote a liberalized type of administrative philosophy based upon a belief that employees are responsible workers more likely to be influenced by their own internal motivations than by the external threats and inducements of management. Because of its importance, library administrators need to be aware of this theory and of its possible adaptation to library operations. Therefore, this paper is intended to review the principles of the Theory Y approach, report upon its coverage in library literature, distinguish between the concepts of Theory Y and participative management, and, finally, discuss how Theory Y's application in a small academic library recommends its use for library operations in general.

McGREGOR AND THEORY Y

In the late 1950s, McGregor revolutionized management theory by incorporating into it Maslow's view that man is subject to a range of motivations that can affect his behavior.[1] These desires extend from the lowest-level or physiological needs through the safety, social, and esteem wants to the highest-level motivators, which Maslow termed "self-actualization" to represent man's need to be what he feels he must be.[2] McGregor believed traditional carrot-stick methods of stimulating production are effective only when man's lower-level needs (food, shelter, clothing, security, etc.) are inadequately met and, as an illustration, noted that man normally has ample air to breathe and thus would not be expected to work harder merely to obtain more air. Once the basic needs are satisfied, people become motivated primarily by their desire for esteem (self-respect and reputation) and self-actualization. McGregor called the conventional managerial philosophy Theory X and his new interpretation Theory Y, thereby polarizing the science of management into two easy-to-grasp reference points. The significance of these ideas has so influenced the field of administration that much of its subsequent literature has dealt with the ramifications of McGregor's simplified approach. Reider recently typified this attitude by stating that McGregor's "insights regarding managerial assumptions about people are timeless" and must be considered the starting point for conducting a performance review.[3] Drucker credits McGregor's *The Human Side of Enterprise* with being "the most widely read and quoted" of books about modern personnel management.[4]

A brief description of a Theory Y environment is that, consistent with maintaining the objectives of an organization, an employee is given the maximum opportunity for self-determination and is subjected to the minimum amount of obvious authority, which means, in current terminology, that he should feel he's doing his thing. His innate desires to be creative, useful, respected, and superior should be encouraged rather than thwarted.

A common misconception with respect to Theory Y is that it represents a permissive, lax type of administration which coddles employees in the hope that they will respond by wanting to work. On the contrary, it requires the same ultimate authority needed with Theory X except that such authority should be kept sufficiently remote to preclude intruding upon an employee's pursuit of higher-level goals. Thus Theory Y's administration is more subtle than Theory X's and necessitates careful planning in order to attain the optimum balance between authority and freedom. Similarly, employees under Theory Y have a more, rather than a less, demanding task than do those under Theory X because, as Maslow noted, they must replace the comforting security of order and direction with the burden of responsibility and self-discipline.[5]

Drucker used the term "knowledge worker" to describe an employee who, in contrast to a "manual worker," needs the benefits of a formal education to perform his services, adding that the knowledge worker does not produce well if managed under Theory X.[6] Thus a good example of Theory Y in practice may be found in the management of knowledge workers, as typified by a research laboratory where the employer's objective is to discover profitable techniques and products. The highly educated employees may not share these corporate goals but, instead, are motivated to create research which can be published to enhance their professional reputations. Consequently, the objectives of the employer and those of the employees are different but require the same output on the part of the employees. The result is that progress toward increasing the employer's profits is favored by a climate which allows the employees to freely follow their own drives for esteem.

THEORY Y IN LIBRARY LITERATURE

Because Theory Y has had such an impact upon the current concepts of management, the author decided to determine whether this approach has been implemented by library administrators and, if so, whether results have been favorable. Therefore, the literature of library management was reviewed in order to establish what recognition has been given to Theory Y and what use has been made of this concept in the management of library employees.

A number of references to McGregor's Theory Y were found in library literature. Some were merely reprints or rehashes of papers by professional administrators which had previously appeared in managerial publications and, as they did not stress library operations, were not considered indicative of the thinking in library circles.[7] There were, however, several articles by librarians in which Theory Y was recognized and, to varying degrees, recommended for use.

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Kipp, reviewing the literature of management, said that McGregor's philosophy "probably provides the most useable concepts in management literature by librarians." He suggested librarians might benefit from this approach but didn't apply it to specific library procedures.[8]

Betty Jo Mitchell developed a training program for library assistants who supervised clerical personnel or student assistants. She patterned her program after McGregor by having her trainees read his discussions along with other recent books on administration. The students concluded that Theory Y in its pure form was not satisfactory but should be modified, as suggested by Morse and Lorsch, to fit the tasks and people involved. This modification was based upon Drucker's opinion that Theory Y works with knowledge workers but Theory X often is more effective with manual workers.[9]

Robert and Charlene Lee, referring to Theory Y as "management by participation," said it is "a tough-minded management style—and it works." They encouraged the idea that personnel planning should be concerned with an individual's aspirations and should provide him or her with opportunities for participation and growth.[10]

Dickinson cited McGregor and stated that "Libraries . . . need to be aware of certain world-wide trends in work theory, according to which meaningful and significant work (attained through participative management) replaces economic rewards as the central institutional incentive." She proposed a sequence of steps which could be followed for changing from a hierarchical to a participative type of management and recommended such an arrangement for activizing the professional staff.[11]

DeProspo thought that Theory Y requires a move away from "management by control" to one of "management by objectives." He favored a model in which the active participation of staff and line employees is encouraged and felt that evaluations of personnel should stress goals rather than traits.[12]

Marchant noted that "new theories direct attention towards other sources of motivation besides the economic," basing this opinion upon Maslow's hierarchy of motivations. He believed that participative management is an important means of enabling employees to operate with higher-level motivations, but reported that a literature search found no studies of library staff participation in decision making. After evaluating library situations, he concluded that "active staff development programs and participative management in libraries appear well suited for each other; they ought to be getting together."[13]

The preceding references show that some libraries recognize Theory Y and, furthermore, believe it is typified by participative management. In addition, several other papers were found which did not mention Theory Y as such but stressed the value of participative management for libraries.[14] McGregor said that when participative management "grows out of the assumptions of Theory Y," it can provide "ego satisfaction for the subordinate" and "thus affect motivation towards organizational objectives." He believed this satisfaction results from the tackling and solving of problems, the feeling of greater independence and influence, and the increased recognition received from peers and superiors for making worthwhile contributions.[15] Consequently, participative management is related to Theory Y in that its use helps establish an environment in which ego needs may be fulfilled.

Despite its intrinsic merits, however, it is questionable whether participative management illustrates Theory Y's basic tenet that an employee's self-motivation to pursue his own goals can help satisfy his employer's organizational objectives. Any such effect would be remote at best and would be limited to those decisions where an employee's responsibilities and relationships would be so altered as to affect his higher-level motivations.

THE USE OF THEORY Y IN A LIBRARY

Consequently, the way to induce Theory Y management in libraries is to focus not upon participatory management, which, though desirable in its own right, can give only random Theory Y benefits, but, instead, upon the characteristics of each employee's position. In this regard, the author has worked with a variety of personnel during the development of a new library and, based upon these experiences, suggests that some of the more effective policies for eliciting Theory Y motivations include providing employees with (1) definite and unique responsibilities; (2) a short administrative chain of command; (3) adequate means to exhibit productivity to others; (4) freedom from fear of failure; and (5) opportunities to merge self-actualization with normal responsibilities.

Probably the most important of these policies is the assigning to each employee of a clear set of responsibilities which do not overlap those of anyone else because, without this basic arrangement, there can be little hope of having Theory Y conditions. Unless a person can unmistakably identify with the fruits of his labor, there is little chance that any of his higher-level needs will directly motivate his productivity. Any sharing of responsibilities between employees dulls this motivation and increases the opportunities for dissatisfaction. In practice, this means dividing responsibilities between available personnel rather than assigning more than one person to an area. For example, if two catalogers are employed, they should not both routinely share all of the responsibilities but, rather, should each be given a discrete and approximately equal portion of the load according to some criterion such as subject or type of material. Within a designated area of responsibility, an employee should be free to determine how to manage his own operations as long as his output conforms with organizational goals and his procedures don't conflict with operations in other areas.

In addition, the lines of authority should be kept as short as possible in order to maximize the sole responsibility of each employee. Using the above example of two catalogers, it would be preferable to have each one answering directly to the highest feasible level of administration rather than having one cataloger answering to the other because, in the latter case, both catalogers would be responsible for the duties of the subordinate one. Besides this direct Theory Y benefit, shorter organizational lines have the indirect value of increasing lateral communication between employees and the practical merit of reducing misunderstandings by decreasing the number of times an idea must be relayed. According to Townsend, each extra "level of management lowers communication effectiveness within the organization by about 25 percent."[16]

Another characteristic of a Theory Y position is that each person's performance must be visible enough to be capable of earning respect from others. Hence, to stimulate the esteem needs for respect and admiration, each employee's productivity should be subject to the scrutiny of other employees. An acquisitions librarian might be judged by the quality of new books, a cataloger by the arrangement and accessibility of the collection, and a public services librarian by the reactions of the library users to the available services. Then, each person's output would be self-regulated by the motivation to be respected, and the administration could watch from a nonintrusive distance for signs that adjustments were needed.

A self-regulating operation, however, must be free to alter its procedures or else an employee may not accept responsibility for his output. This means that management should exhibit confidence in an employee to the extent that failures will not be used as a basis for embarrassment or punishment but, instead, will be evaluated as demonstrating an employee's willingness to improve operations by taking calculated risks. Similarly, any criticisms made should avoid placing an employee on the defensive, as Gibb pointed out in his excellent discussion on the subject. Penalizing errors and inciting defensiveness not only will discourage initiative but also will promote the concealment of mistakes, thereby hindering communication and providing a distorted view of operations.[17]

Finally, the ultimate expression of Theory Y management may be realized if there are opportunities for an employee to identify his responsibilities with his desire for self-actualization, Maslow's highest level of motivation. In Townsend's words, this means having the employee "enjoy his work so much he comes in on Saturday instead of playing golf or cutting grass,"[18] which, in a librarian's terms, might signify an employee who experiments with his procedures and presents papers on the results to professional colleagues. Measures which arouse these tendencies include the previously mentioned freedom to make mistakes plus the encouragement and financial support of the administration to join organizations and attend meetings. In this type of atmosphere, employees may become so absorbed in their career interests that their tendencies toward self-actualization will be expressed within the framework of normal occupational duties.

A distinction should be made between the factors described above which directly affect employee higher-level motivations and indirect factors which act instead to create a Theory Y environment. Such indirect factors are important because, although they do not affect productivity in an obvious manner, their presence encourages employees to feel trusted, appreciated, and responsible, and thus to be more receptive to the stimuli of Theory Y motivators. Examples of these environmental influences include (1) favoring intercommunication between all employees; (2) delegating the maximum feasible amount of the organization's decision making process, as in participative management; (3) cultivating feelings of fair play; and (4) showing appreciation and sensitivity for employee efforts, achievements, and problems.

CONCLUSION

In conclusion, the author believes that libraries are suitable institutions for the application of Theory Y because of several reasons. First, librarians are by nature knowledge workers who have professional interests and thus are especially susceptible to motivations based upon desires for esteem and self-actualization. Next, the attitudes and duties of librarians are usually oriented toward providing information desired by patrons rather than toward obtaining financial returns; as a result, higher-level motivations may often be satisfied through the idealistic performance of services. Finally, libraries can usually be organized so that each worker has a rewarding, interesting, and unique area of responsibility, thereby stimulating the fulfillment of ego motivators. Consequently, it is recommended that library administrators seriously consider adopting measures that favor Theory Y management in order to promote employee satisfaction while simultaneously improving employee performance levels.

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Frederick Herzberg, "One More Time: How Do You Motivate Employees?" Reprinted with permission from: *Harvard Business Review*, 46 (January-February 1968), 53-62. (Copyright © 1967 by the President and Fellows of Harvard College; all rights reserved).

Frederick Herzberg

One more time: How do you motivate employees?

Not by improving work conditions, raising salaries, or shuffling tasks

⑯

Foreword

KITA—the externally imposed attempt by management to "install a generator" in the employee—has been demonstrated to be a total failure, the author says. The absence of such "hygiene" factors as good supervisor-employee relations and liberal fringe benefits can make a worker unhappy, but their presence will not make him want to work harder. Essentially meaningless changes in the tasks that workers are assigned to do have not accomplished the desired objective either. The only way to motivate the employee is to give him challenging work in which he can assume responsibility.

Frederick Herzberg, who is Professor and Chairman of the Psychology Department at Case Western Reserve University, has devoted many years to the study of motivation in the United States and abroad. He is the author of *Work and the Nature of Man* (World Publishing Company, 1966).

How many articles, books, speeches, and workshops have pleaded plaintively, "How do I get an employee to do what I want him to do?"

The psychology of motivation is tremendously complex, and what has been unraveled with any degree of assurance is small indeed. But the dismal ratio of knowledge to speculation has not dampened the enthusiasm for new forms of snake oil that are constantly coming on the market, many of them with academic testimonials. Doubtless this article will have no depressing impact on the market for snake oil,

Author's note: I should like to acknowledge the contributions that Robert Ford of the American Telephone and Telegraph Company has made to the ideas expressed in this paper, and in particular to the successful application of these ideas in improving work performance and the job satisfaction of employees.

but since the ideas expressed in it have been tested in many corporations and other organizations, it will help—I hope—to redress the imbalance in the aforementioned ratio.

'Motivating' with KITA

In lectures to industry on the problem, I have found that the audiences are anxious for quick and practical answers, so I will begin with a straightforward, practical formula for moving people.

What is the simplest, surest, and most direct way of getting someone to do something? Ask him? But if he responds that he does not want to do it, then that calls for a psychological consultation to determine the reason for his obstinacy. Tell him? His response shows that he does not understand you, and now an expert in communication methods has to be brought in to show you how to get through to him. Give him a monetary incentive? I do not need to remind the reader of the complexity and difficulty involved in setting up and administering an incentive system. Show him? This means a costly training program. We need a simple way.

Every audience contains the "direct action" manager who shouts, "Kick him!" And this type of manager is right. The surest and least circumlocuted way of getting someone to do something is to kick him in the pants—give him what might be called the KITA.

There are various forms of KITA, and here are some of them:

☐ *Negative physical KITA.* This is a literal application of the term and was frequently used in the past. It has, however, three major drawbacks: (1) it is inelegant; (2) it contradicts the precious image of benevolence that most organizations cherish; and (3) since it is a physical attack, it directly stimulates the autonomic nervous system, and this often results in negative feedback—the employee may just kick you in return. These factors give rise to certain taboos against negative physical KITA.

The psychologist has come to the rescue of those who are no longer permitted to use negative physical KITA. He has uncovered infinite sources of psychological vulnerabilities and the appropriate methods to play tunes on them. "He took my rug away"; "I wonder what he meant by that"; "The boss is always going around me"—these symptomatic expressions of ego sores that have been rubbed raw are the result of application of:

☐ *Negative Psychological KITA.* This has several advantages over negative physical KITA. First, the cruelty is not visible; the bleeding is internal and comes much later. Second, since it affects the higher cortical centers of the brain with its inhibitory powers, it reduces the possibility of physical backlash. Third, since the number of psychological pains that a person can feel is almost infinite, the direction and site possibilities of the KITA are increased many times. Fourth, the person administering the kick can manage to be above it all and let the system accomplish the dirty work. Fifth, those who practice it receive some ego satisfaction (one-upmanship), whereas they would find drawing blood abhorrent. Finally, if the employee does complain, he can always be accused of being paranoid, since there is no tangible evidence of an actual attack.

Now, what does negative KITA accomplish? If I kick you in the rear (physically or psychologically), who is motivated? *I* am motivated; *you* move! Negative KITA does not lead to motivation, but to movement. So:

☐ *Positive KITA.* Let us consider motivation. If I say to you, "Do this for me or the company, and in return I will give you a reward, an incentive, more status, a promotion, all the quid pro quos that exist in the industrial organization," am I motivating you? The overwhelming opinion I receive from management people is, "Yes, this is motivation."

I have a year-old Schnauzer. When it was a small puppy and I wanted it to move, I kicked it in the rear and it moved. Now that I have finished its obedience training, I hold up a dog biscuit when I want the Schnauzer to move. In this instance, who is motivated—I or the dog? The dog wants the biscuit, but it is I who want it to move. Again, I am the one who is motivated, and the dog is the one who moves. In this instance all I did was apply KITA frontally; I exerted a pull instead of a push. When industry wishes to use such positive KITAs, it has available an incredible number and variety of dog biscuits (jelly beans for humans) to wave in front of the employee to get him to jump.

Why is it that managerial audiences are quick to see that negative KITA is *not* motivation, while they are almost unanimous in their judgment that positive KITA *is* motivation? It is because negative KITA is rape, and positive KITA is seduction. But it is infinitely worse to be seduced than to be raped; the latter is an unfortunate occurrence, while the former signifies that you were a party to your own downfall. This is why positive KITA is so popular: it is a tradition; it is in the American way. The organization does not have to kick you; you kick yourself.

Myths about motivation

Why is KITA not motivation? If I kick my dog (from the front or the back), he will move. And when I want him to move again, what must I do? I must kick him again. Similarly, I can charge a man's battery, and then recharge it, and recharge it again. But it is only when he has his own generator that we can talk about motivation. He then needs no outside stimulation. He *wants* to do it.

With this in mind, we can review some positive KITA personnel practices that were developed as attempts to instill "motivation":

1. *Reducing time spent at work*—This represents a marvelous way of motivating people to work—getting them off the job! We have reduced (formally and informally) the time spent on the job over the last 50 or 60 years until we are finally on the way to the "6½-day weekend." An interesting variant of this approach is the development of off-hour recreation programs. The philosophy here seems to be that those who play together, work together. The fact is that motivated people seek more hours of work, not fewer.

2. *Spiraling wages*—Have these motivated people? Yes, to seek the next wage increase. Some medievalists still can be heard to say that a good depression will get employees moving. They feel that if rising wages don't or won't do the job, perhaps reducing them will.

3. *Fringe benefits*—Industry has outdone the most welfare-minded of welfare states in dispensing cradle-to-the-grave succor. One company I know of had an informal "fringe benefit of the month club" going for a while. The cost of fringe benefits in this country has reached approximately 25% of the wage dollar, and we still cry for motivation.

People spend less time working for more money and more security than ever before, and the trend cannot be reversed. These benefits are no longer rewards; they are rights. A 6-day week is inhuman, a 10-hour day is exploitation, extended medical coverage is a basic decency, and stock options are the salvation of American initiative. Unless the ante is continuously raised, the psychological reaction of employees is that the company is turning back the clock.

When industry began to realize that both the economic nerve and the lazy nerve of their employees had insatiable appetites, it started to listen to the behavioral scientists who, more out of a humanist tradition than from scientific study, criticized management for not knowing how to deal with people. The next KITA easily followed.

4. *Human relations training*—Over 30 years of teaching and, in many instances, of practicing psychological approaches to handling people have resulted in costly human relations programs and, in the end, the same question: How do you motivate workers? Here, too, escalations have taken place. Thirty years ago it was necessary to request, "Please don't spit on the floor." Today the same admonition requires three "please"s before the employee feels that his superior has demonstrated the psychologically proper attitudes toward him.

The failure of human relations training to produce motivation led to the conclusion that the supervisor or manager himself was not psychologically true to himself in his practice of interpersonal decency. So an advanced form of human relations KITA, sensitivity training, was unfolded.

5. *Sensitivity training*—Do you really, really understand yourself? Do you really, really, really trust the other man? Do you really, really, really, really cooperate? The failure of sensitivity training is now being explained, by those who have become opportunistic exploiters of the technique, as a failure to really (five times) conduct proper sensitivity training courses.

With the realization that there are only temporary gains from comfort and economic and interpersonal KITA, personnel managers concluded that the fault lay not in what they were doing, but in the employee's failure to appreciate what they were doing. This opened up the field of communications, a whole new area of "scientifically" sanctioned KITA.

6. *Communications*—The professor of communications was invited to join the faculty of management training programs and help in making employees understand what management was doing for them. House organs, briefing sessions, supervisory instruction on the importance of communication, and all sorts of

propaganda have proliferated until today there is even an International Council of Industrial Editors. But no motivation resulted, and the obvious thought occurred that perhaps management was not hearing what the employees were saying. That led to the next KITA.

7. *Two-way communication*—Management ordered morale surveys, suggestion plans, and group participation programs. Then both employees and management were communicating and listening to each other more than ever, but without much improvement in motivation.

The behavioral scientists began to take another look at their conceptions and their data, and they took human relations one step further. A glimmer of truth was beginning to show through in the writings of the so-called higher-order-need psychologists. People, so they said, want to actualize themselves. Unfortunately, the "actualizing" psychologists got mixed up with the human relations psychologists, and a new KITA emerged.

8. *Job participation*—Though it may not have been the theoretical intention, job participation often became a "give them the big picture" approach. For example, if a man is tightening 10,000 nuts a day on an assembly line with a torque wrench, tell him he is building a Chevrolet. Another approach had the goal of giving the employee a *feeling* that he is determining, in some measure, what he does on his job. The goal was to provide a *sense* of achievement rather than a substantive achievement in his task. Real achievement, of course, requires a task that makes it possible.

But still there was no motivation. This led to the inevitable conclusion that the employees must be sick, and therefore to the next KITA.

9. *Employee counseling*—The initial use of this form of KITA in a systematic fashion can be credited to the Hawthorne experiment of the Western Electric Company during the early 1930's. At that time, it was found that the employees harbored irrational feelings that were interfering with the rational operation of the factory. Counseling in this instance was a means of letting the employees unburden themselves by talking to someone about their problems. Although the counseling techniques were primitive, the program was large indeed.

The counseling approach suffered as a result of experiences during World War II, when the programs themselves were found to be interfering with the operation of the organizations; the counselors had forgotten their role of benevolent listeners and were attempting to do something about the problems that they heard about. Psychological counseling, however, has managed to survive the negative impact of World War II experiences and today is beginning to flourish with renewed sophistication. But, alas, many of these programs, like all the others, do not seem to have lessened the pressure of demands to find out how to motivate workers.

Since KITA results only in short-term movement, it is safe to predict that the cost of these programs will increase steadily and new varieties will be developed as old positive KITAs reach their satiation points.

Hygiene vs. motivators

Let me rephrase the perennial question this way: How do you install a generator in an employee? A brief review of my motivation-hygiene theory of job attitudes is required before theoretical and practical suggestions can be offered. The theory was first drawn from an examination of events in the lives of engineers and accountants. At least 16 other investigations, using a wide variety of populations (including some in the Communist countries), have since been completed, making the original research one of the most replicated studies in the field of job attitudes. ⑲

The findings of these studies, along with corroboration from many other investigations using different procedures, suggest that the factors involved in producing job satisfaction (and motivation) are separate and distinct from the factors that lead to job dissatisfaction. Since separate factors need to be considered, depending on whether job satisfaction or job dissatisfaction is being examined, it follows that these two feelings are not opposites of each other. The opposite of job satisfaction is not job dissatisfaction but, rather, *no* job satisfaction; and, similarly, the opposite of job dissatisfaction is not job satisfaction, but *no* job dissatisfaction.

Stating the concept presents a problem in semantics, for we normally think of satisfaction and dissatisfaction as opposites—i.e., what is not satisfying must be dissatisfying, and vice versa. But when it comes to understanding the behavior of people in their jobs, more than a play on words is involved.

Two different needs of man are involved here. One set of needs can be thought of as stemming from his animal nature—the built-in drive to avoid pain from the environment, plus all the learned drives which become conditioned to the basic biological needs. For example, hunger, a basic biological drive, makes it necessary to earn money, and then money becomes a specific drive. The other set of needs relates to that unique human characteristic, the ability to achieve and, through achievement, to experience psychological growth. The stimuli for the growth needs are tasks that induce growth; in the industrial setting, they are the *job content.* Contrariwise, the stimuli inducing pain-avoidance behavior are found in the *job environment.*

The growth or *motivator* factors that are intrinsic to the job are: achievement, recognition for achievement, the work itself, responsibility, and growth or advancement. The dissatisfaction-avoidance or *hygiene* (KITA) factors that are extrinsic to the job include: company policy and administration, supervision, interpersonal relationships, working conditions, salary, status, and security.

A composite of the factors that are involved in causing job satisfaction and job dissatisfaction, drawn from samples of 1,685 employees, is shown in *Exhibit I.* The results indicate that motivators were the primary cause of satisfaction, and hygiene factors the primary cause of unhappiness on the job. The employees, studied in 12 different investigations, included lower-level supervisors, professional women, agricultural administrators, men about to retire from management positions, hospital maintenance

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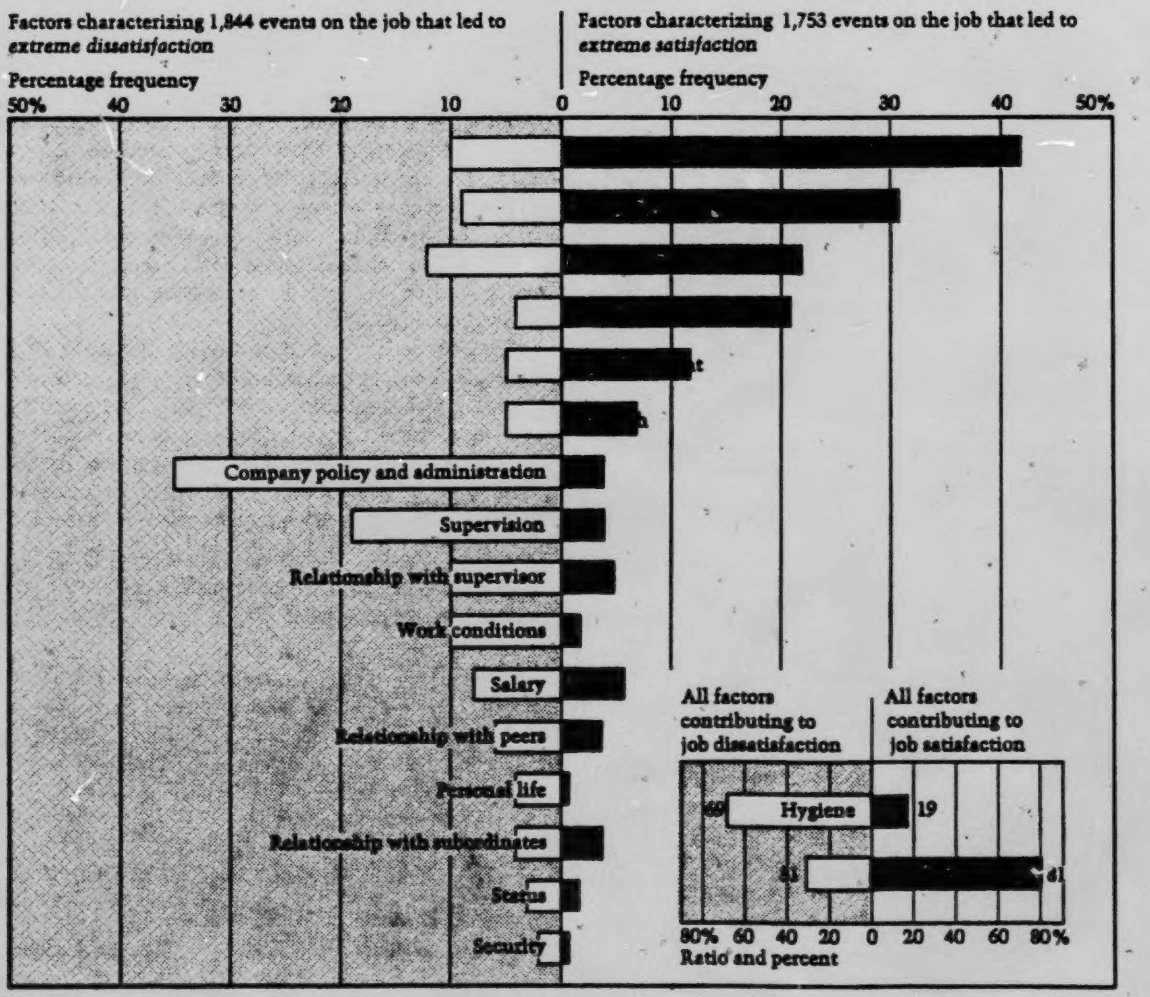
Exhibit I. Factors affecting job attitudes, as reported in 12 investigations



personnel, manufacturing supervisors, nurses, food handlers, military officers, engineers, scientists, housekeepers, teachers, technicians, female assemblers, accountants, Finnish foremen, and Hungarian engineers.

They were asked what job events had occurred in their work that had led to extreme satisfaction or extreme dissatisfaction on their part. Their responses are broken down in the exhibit into percentages of total "positive" job events and of total "negative" job events. (The figures total more than 100% on both the "hygiene" and "motivators" sides because often at least two factors can be attributed to a single event; advancement, for instance, often accompanies assumption of responsibility.)

To illustrate, a typical response involving achievement that had a negative effect for the employee was, "I was unhappy because I didn't do the job successfully." A typical response in the small number of positive job events in the Company Policy and Administration grouping was, "I was happy because the company reorganized the section so that I didn't report any longer to the guy I didn't get along with."

As the lower right-hand part of the exhibit shows, of all the factors contributing to job satisfaction, 81% were motivators. And of all the factors contributing to the employees' dissatisfaction over their work, 69% involved hygiene elements.

Eternal triangle

There are three general philosophies of personnel management. The first is based on organizational theory, the second on industrial engineering, and the third on behavioral science.

The organizational theorist believes that human needs are either so irrational or so varied and adjustable to specific situations that the major function of personnel management is to be as pragmatic as the occasion demands. If jobs are organized in a proper manner, he reasons, the result will be the most efficient job structure, and the most favorable job attitudes will follow as a matter of course.

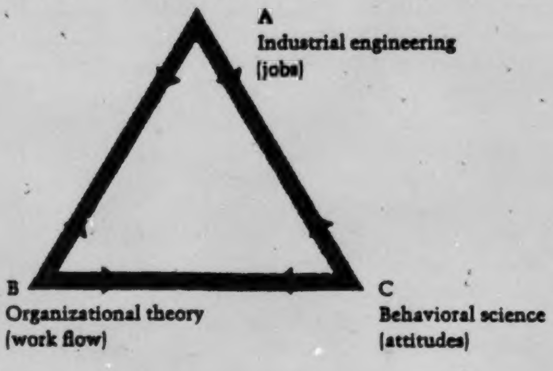
The industrial engineer holds that man is mechanistically oriented and economically motivated and his needs are best met by attuning the individual to the most efficient work process. The goal of personnel management therefore should be to concoct the most appropriate incentive system and to design the specific working conditions in a way that facilitates the most efficient use of the human machine. By structuring jobs in a manner that leads to the most efficient operation, the engineer believes that he can obtain the optimal organization of work and the proper work attitudes.

The behavioral scientist focuses on group sentiments, attitudes of individual employees, and the organization's social and psychological climate. According to his persuasion, he emphasizes one or more of the various hygiene and motivator needs. His approach to personnel management generally emphasizes some form of human relations education, in the hope of instilling healthy employee attitudes and an organizational climate which he considers to be felicitous to human values. He believes that proper attitudes will lead to efficient job and organizational structure.

There is always a lively debate as to the overall effectiveness of the approaches of the organizational theorist and the industrial engineer. Manifestly they have achieved much. But the nagging question for the behavioral scientist has been: What is the cost in human problems that eventually cause more expense to the organization—for instance, turnover, absenteeism, errors, violation of safety rules, strikes, restriction of output, higher wages, and greater fringe benefits? On the other hand, the behavioral scientist is hard put to document much manifest improvement in personnel management, using his approach.

The three philosophies can be depicted as a triangle, as is done in *Exhibit II*, with each persuasion claiming the apex angle. The motivation-hygiene theory claims the same angle as industrial engineering, but for opposite goals. Rather than rationalizing the work to increase efficiency, the theory suggests that work be *en-*

Exhibit II. 'Triangle' of philosophies of personnel management



riched to bring about effective utilization of personnel. Such a systematic attempt to motivate employees by manipulating the motivator factors is just beginning.

The term *job enrichment* describes this embryonic movement. An older term, job enlargement, should be avoided because it is associated with past failures stemming from a misunderstanding of the problem. Job enrichment provides the opportunity for the employee's psychological growth, while job enlargement merely makes a job structurally bigger. Since scientific job enrichment is very new, this article only suggests the principles and practical steps that have recently emerged from several successful experiments in industry.

Job loading

In attempting to enrich an employee's job, management often succeeds in reducing the man's personal contribution, rather than giving him an opportunity for growth in his accustomed job. Such an endeavor, which I shall call horizontal job loading (as opposed to vertical loading, or providing motivator factors), has been the problem of earlier job enlargement programs. This activity merely enlarges the meaninglessness of the job. Some examples of this approach, and their effect, are:

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☐ Challenging the employee by increasing the amount of production expected of him. If he tightens 10,000 bolts a day, see if he can tighten 20,000 bolts a day. The arithmetic involved shows that multiplying zero by zero still equals zero.

☐ Adding another meaningless task to the existing one, usually some routine clerical activity. The arithmetic here is adding zero to zero.

☐ Rotating the assignments of a number of jobs that need to be enriched. This means washing dishes for a while, then washing silverware. The arithmetic is substituting one zero for another zero.

☐ Removing the most difficult parts of the assignment in order to free the worker to accomplish more of the less challenging assignments. This traditional industrial engineering approach amounts to subtraction in the hope of accomplishing addition.

These are common forms of horizontal loading that frequently come up in preliminary brainstorming sessions on job enrichment. The principles of vertical loading have not all been worked out as yet, and they remain rather general, but I have furnished seven useful starting points for consideration in *Exhibit III.*

A successful application

An example from a highly successful job enrichment experiment can illustrate the distinction between horizontal and vertical loading of a job. The subjects of this study were the stockholder correspondents employed by a very large corporation. Seemingly, the task required of these carefully selected and highly trained correspondents was quite complex and challenging. But almost all indexes of performance and job attitudes were low, and exit interviewing confirmed that the challenge of the job existed merely as words.

Exhibit III. Principles of vertical job loading

Principle	Motivators involved
A. Removing some controls while retaining accountability	Responsibility and personal achievement
B. Increasing the accountability of individuals for own work	Responsibility and recognition
C. Giving a person a complete natural unit of work (module, division, area, and so on)	Responsibility, achievement, and recognition
D. Granting additional authority to an employee in his activity; job freedom	Responsibility, achievement, and recognition
E. Making periodic reports directly available to the worker himself rather than to the supervisor	Internal recognition
F. Introducing new and more difficult tasks not previously handled	Growth and learning
G. Assigning individuals specific or specialized tasks, enabling them to become experts	Responsibility, growth, and advancement

A job enrichment project was initiated in the form of an experiment with one group, designated as an achieving unit, having its job enriched by the principles described in *Exhibit III.* A control group continued to do its job in the traditional way. (There were also two "uncommitted" groups of correspondents formed to measure the so-called Hawthorne Effect—that is, to gauge whether productivity and attitudes toward the job changed artificially merely because employees sensed that the company was paying more attention to them in doing something different or novel. The results for these groups were substantially the same as for the control group, and for the sake of simplicity I do not deal with them in this summary.) No changes in hygiene were introduced for either group other than those that would have been made anyway, such as normal pay increases.

The changes for the achieving unit were introduced in the first two months, averaging one per week of the seven motivators listed in *Exhibit III.* At the end of six months the members of the achieving unit were found to be outperforming their counterparts in the control group, and in addition indicated a marked increase in their liking for their jobs. Other results showed that the achieving group had lower absenteeism and, subsequently, a much higher rate of promotion.

Exhibit IV illustrates the changes in performance, measured in February and March, before the study period began, and at the end of each month of the study period. The shareholder service index represents quality of letters, including accuracy of information, and speed of response to stockholders' letters of inquiry. The index of a current month was averaged into the average of the two prior months, which means that improvement was harder to obtain if the indexes of the previous months were low. The "achievers" were performing less well before the six-month period started, and their performance service index continued to decline after the introduction of the motivators, evidently because of uncertainty over their newly granted responsibilities. In the third month, however, performance improved, and soon the members of this group had reached a high level of accomplishment.

Exhibit IV. Shareholder service index in company experiment
[Three-month cumulative average]

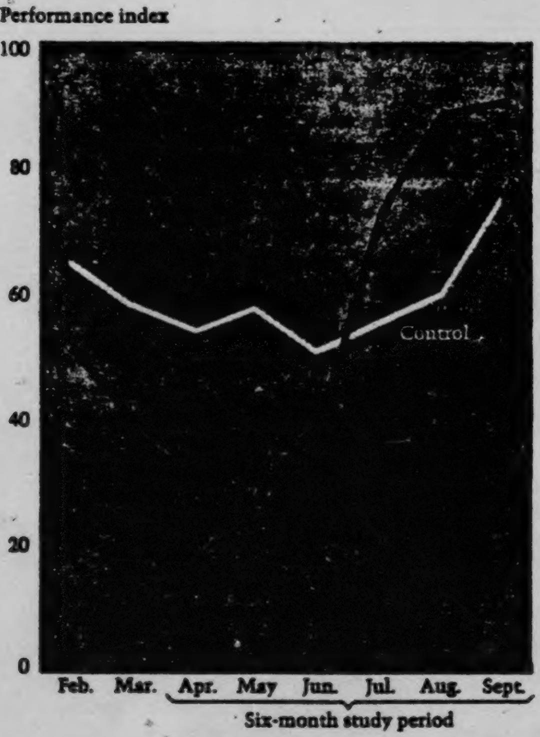

Exhibit V. Changes in attitudes toward tasks in company experiment
[Changes in mean scores over six-month period]

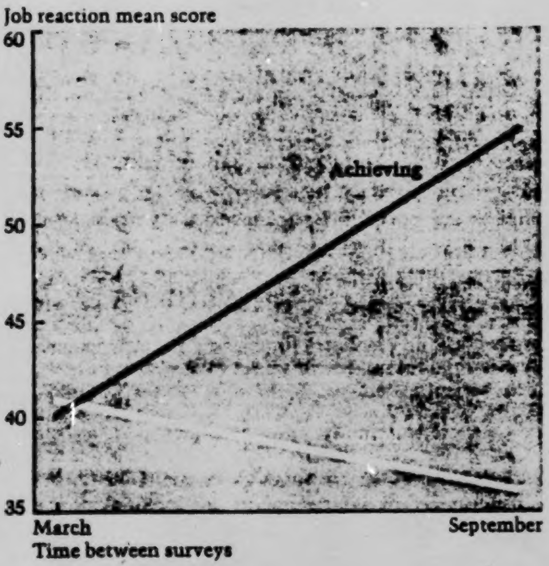

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Exhibit V shows the two groups' attitudes toward their job, measured at the end of March, just before the first motivator was introduced, and again at the end of September. The correspondents were asked 16 questions, all involving motivation. A typical one was, "As you see it, how many opportunities do you feel that you have in your job for making worthwhile contributions?" The answers were scaled from 1 to 5, with 80 as the maximum possible score. The achievers became much more positive about their job, while the attitude of the control unit remained about the same (the drop is not statistically significant).

How was the job of these correspondents restructured? *Exhibit VI* lists the suggestions made that were deemed to be horizontal loading, and the actual vertical loading changes that were in-

Exhibit VI. Enlargement vs. enrichment of correspondents' tasks in company experiment

Horizontal loading suggestions (rejected)	Vertical loading suggestions (adopted)	Principle
Firm quotas could be set for letters to be answered each day, using a rate which would be hard to reach.	Subject matter experts were appointed within each unit for other members of the unit to consult with before seeking supervisory help. (The supervisor had been answering all specialized and difficult questions.)	G
The women could type the letters themselves, as well as compose them, or take on any other clerical functions.	Correspondents signed their own names on letters. (The supervisor had been signing all letters.)	B
All difficult or complex inquiries could be channeled to a few women so that the remainder could achieve high rates of output. These jobs could be exchanged from time to time.	The work of the more experienced correspondents was proofread less frequently by supervisors and was done at the correspondents' desks, dropping verification from 100% to 10%. (Previously, all correspondents' letters had been checked by the supervisor.)	A
The women could be rotated through units handling different customers, and then sent back to their own units.	Production was discussed, but only in terms such as "a full day's work is expected." As time went on, this was no longer mentioned. (Before, the group had been constantly reminded of the number of letters that needed to be answered.)	D
	Outgoing mail went directly to the mailroom without going over supervisors' desks. (The letters had always been routed through the supervisors.)	A
	Correspondents were encouraged to answer letters in a more personalized way. (Reliance on the form-letter approach had been standard practice.)	C
	Each correspondent was held personally responsible for the quality and accuracy of letters. (This responsibility had been the province of the supervisor and the verifier.)	B, E

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corporated in the job of the achieving unit. The capital letters under "Principle" after "Vertical loading" refer to the corresponding letters in *Exhibit III*. The reader will note that the rejected forms of horizontal loading correspond closely to the list of common manifestations of the phenomenon on page 59, left column.

Steps to job enrichment

Now that the motivator idea has been described in practice, here are the steps that managers should take in instituting the principle with their employees:

1. Select those jobs in which (a) the investment in industrial engineering does not make changes too costly, (b) attitudes are poor, (c) hygiene is becoming very costly, and (d) motivation will make a difference in performance.

2. Approach these jobs with the conviction that they can be changed. Years of tradition have led managers to believe that the content of the jobs is sacrosanct and the only scope of action that they have is in ways of stimulating people.

3. Brainstorm a list of changes that may enrich the jobs, without concern for their practicality.

4. Screen the list to eliminate suggestions that involve hygiene, rather than actual motivation.

5. Screen the list for generalities, such as "give them more responsibility," that are rarely followed in practice. This might seem obvious, but the motivator words have never left industry; the substance has just been rationalized and organized out. Words like "responsibility," "growth," "achievement," and "challenge," for example, have been elevated to the lyrics of the patriotic anthem for all organizations. It is the old problem typified by the pledge of allegiance to the flag being more important than contributions to the country—of following the form, rather than the substance.

6. Screen the list to eliminate any *horizontal* loading suggestions.

7. Avoid direct participation by the employees whose jobs are to be enriched. Ideas they have expressed previously certainly constitute a valuable source for recommended changes, but their direct involvement contaminates the process with human relations *hygiene* and, more specifically, gives them only a *sense* of making a contribution. The job is to be changed, and it

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is the content that will produce the motivation, not attitudes about being involved or the challenge inherent in setting up a job. That process will be over shortly, and it is what the employees will be doing from then on that will determine their motivation. A sense of participation will result only in short-term movement.

8. In the initial attempts at job enrichment, set up a controlled experiment. At least two equivalent groups should be chosen, one an experimental unit in which the motivators are systematically introduced over a period of time, and the other one a control group in which no changes are made. For both groups, hygiene should be allowed to follow its natural course for the duration of the experiment. Pre- and post-installation tests of performance and job attitudes are necessary to evaluate the effectiveness of the job enrichment program. The attitude test must be limited to motivator items in order to divorce the employee's view of the job he is given from all the surrounding hygiene feelings that he might have.

9. Be prepared for a drop in performance in the experimental group the first few weeks. The changeover to a new job may lead to a temporary reduction in efficiency.

10. Expect your first-line supervisors to experience some anxiety and hostility over the changes you are making. The anxiety comes from their fear that the changes will result in poorer performance for their unit. Hostility will arise when the employees start assuming what the supervisors regard as their own responsibility for performance. The supervisor without checking duties to perform may then be left with little to do.

Readers of this article may be interested in "What Job Attitudes Tell About Motivation," by Lyman W. Porter and Edward E. Lawler, III, beginning on page 118 of this issue.

After a successful experiment, however, the supervisor usually discovers the supervisory and managerial functions he has neglected, or which were never his because all his time was given over to checking the work of his subordinates. For example, in the R&D division of one large chemical company I know of, the supervisors of the laboratory assistants were theoretically responsible for their training and evaluation. These functions, however, had come to be performed in a routine, unsubstantial fashion. After the job enrichment program, during which the supervisors were not merely passive observers of the assistants' performance, the supervisors actually were devoting their time to reviewing performance and administering thorough training.

What has been called an employee-centered style of supervision will come about not through education of supervisors, but by changing the jobs that they do.

Concluding note

Job enrichment will not be a one-time proposition, but a continuous management function. The initial changes, however, should last for a very long period of time. There are a number of reasons for this:

☐ The changes should bring the job up to the level of challenge commensurate with the skill that was hired.

☐ Those who have still more ability eventually will be able to demonstrate it better and win promotion to higher-level jobs.

☐ The very nature of motivators, as opposed to hygiene factors, is that they have a much longer-term effect on employees' attitudes. Perhaps the job will have to be enriched again, but this will not occur as frequently as the need for hygiene.

Not all jobs can be enriched, nor do all jobs need to be enriched. If only a small percentage of the time and money that is now devoted to hygiene, however, were given to job enrichment efforts, the return in human satisfaction and economic gain would be one of the largest dividends that industry and society have ever reaped through their efforts at better personnel management.

The argument for job enrichment can be summed up quite simply: If you have someone on a job, use him. If you can't use him on the job, get rid of him, either via automation or by selecting someone with lesser ability. If you can't use him and you can't get rid of him, you will have a motivation problem.

Theory Y Compensation

A.W. Charles, "Theory Y Compensation." Reprinted with permission from: *Personnel Journal*, 52 (January, 1973), 12-18, +26. Copyright © January, 1973.

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If results oriented or participative management techniques are to achieve maximum effectiveness, they must be supported by a compensation plan that reinforces these concepts. In far too many cases the compensation plan is geared to autocratic or task oriented management which detracts from effectively changing management practices. Properly constructed and implemented, a compensation plan can contribute to motivation and be a catalyst for management changes.

COMPENSATION has been placed under a cloud of suspicion as a potential stimulator for motivation. For example, Herzberg has placed money in a hygienic role.[1] Yet, to many managers money is synonymous with motivation and dollars are used as a standard prescription to try to correct problems in motivation.

William F. White pointed out a number of years ago that money is only one of the considerations that workers seem to have on their minds, and that people do not sell their services without consideration as to future consequences of their actions. However, money's reputation as the strongest motivator available will be a long time dying because it is partially true. Certain people respond to money stimulation more than others. Under what circumstances will money perform well as a stimulator for motivation and under what circumstances will it be relegated to a hygienic role?

It would appear that there are three major factors that influence the relative motivation of money stimulation. One is the individual or group of individuals with whom you are dealing. Certain groups and certain people are

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more responsive to monetary stimulation than others, for example, managers and commission salesmen. The second factor is the organization climate, with many companies effectively limiting the possible stimulation of compensation by the way these programs have been structured and administered. This internal structuring can be further broken into two broad categories: a setting of compensation limits by job title and description, and the relationship of pay to performance. A third important factor is the compensation relativities, both internal and external, with the internal relativities being more important than the external, in most circumstances.

Money's reputation as the strongest motivator will be a long time dying because it is partially true.

It would appear in reviewing compensation programs that malpractices have had a substantial impact in relegating compensation to a hygienic role. The inept way that many compensation programs are handled detracts from their ability to stimulate motivation. When individuals see little or no relation between their performance and their compensation, or observe increases being granted for nonperformance reasons, compensation is being forced into a hygienic role. In far too many cases compensation administration is geared to task as opposed to results orientation.

Some programs require that performance, evaluation and merit increases be separated. The rationale for such a procedure is to try to avoid performance ratings being artificially manipulated to justify proposed merit increases. Performance and compensation, however, must go hand in hand. It is fundamental that compensation must be geared to results if it is to stimulate motivation on the part of achievers in the organization. Research indicates that those individuals who are *not* strongly achievement-minded may be *more* influenced by compensation than those who are high achievers. The high achieving group want to do something for the personal satisfaction of becoming more expert in their particular line of work and in preparing themselves to handle more demanding assignments. Those who are not high achievement minded need to be shown a more direct relationship between their performance and compensation. However, this is not to say that achievement and recognition can be used in lieu of compensation. It is a matter of relative emphasis.

The failure of various merit review programs does not stem from an incorrect assumption regarding performance and compensation, but from the review program itself. These programs are largely developed by staff specialists, and in many cases they are forced upon the reluctant line management. Such programs have generally failed due to three fundamental errors. The first and perhaps the most important is that performance standards were not developed and rating factors were not derived from standards which were acceptable to line managers and their subordinates. The greatest fallacy in most review programs is using standardized language and review factors for all positions within the organization when these positions, in fact, require different standards of performance if incumbents are to be successful on the job. The second fallacy of many current review programs is inadequate supervisory training in the use of the system. The third factor is that many review systems were geared to personality traits which did little but formalize the value system and perhaps the prejudice of the supervisor. These reviews say in effect, if we like you we'll rate you high and give you a good raise, and if we don't like you we won't, and performance really has little or nothing to do with it. A series of articles by McGregor

The failure of some merit review programs does not stem from an incorrect assumption regarding performance and compensation, but from the program itself.

and others for the past fifteen years point out that most merit review programs have not brought about desired changes in human performance.[2,3,4] These results should surprise no one. Where performance standards are lacking and the review deals with factors that bear little relationship to on-the-job behavior required of subordinates, failure is assured. The recommended approach would tie the review to performance standards that have been established through subordinate-supervisor conferences. Performance should be evaluated in relation to the standards established. This is the essence of results oriented management.

STAFF MEDDLING

Another problem connected with rewarding performance is the approach to compensation that calls for staff review of all merit increases. Those who are doing the reviewing have, for the most part, little contact with the individual being reviewed, but still question the amount or frequency of merit increases. This type of review can lead to "false" ratings to justify increases. A more reasonable approach would appear to be to work out a merit review budget and make the line manager responsible for staying within budgetary limits. There is something basically incongruous about having a line executive, who has the authority to make investment decisions for the company in the millions of dollars, being questioned about giving two $100 a month merit increases within a six month period. Such activities actually detract from supervisory effectiveness because subordinate personnel are quick to recognize that even though their boss may have the authority to fire them, all types of merit increases are subject to a series of approvals by people who really know very little about their job performance. The manager who has his hands tied in this fashion has a difficult time providing monetary stimulation for more than enough self-motivation to "get by" on the part of most subordinates. This type of policy fertilizes middle management lethargy, and the resulting environment engendered makes it difficult to recruit and hold achievers who are stimulated by a combination of money and meaningful work assignments.

A paramount value of a performance standards program is the interaction between an individual and his immediate supervisor.

PERFORMANCE STANDARDS

A paramount value of a performance standards program is the interaction between an individual and his immediate supervisor in developing the standard. An agreement requires a commitment and an acceptance. It is fundamental to motivation that people make a commitment. It is not something that is *forced* upon one by another. When an individual commits himself to the validity of the standard, with no reservations, he will normally strive to achieve those standards. Obviously, the supervisor must accept the agreed-upon standard as well. If either is missing, that is, the acceptance or the commitment, the performance standard doesn't exist.

The establishment of a performance standard can do three things for an organization. First, it sets the standard of performance, i.e., a base of acceptable performance that supervisors can use to evaluate performance as either being adequate or inadequate. The second is recognition that all positions in an organization are made up of a continuum of decisions. The further up you go in an organization, the broader the scope of these decisions and the longer the time range that is necessary to measure the impact of decisions or faulty decision making. Every act that an individual performs is preceded by decision and these decisions are to solve problems. Problem solving would appear to be a common denominator for human activity within an organization. Therefore, the establishment of performance standards will determine ahead of time what is to be done. Once this has been determined, it gives the supervisor involved in the communication valuable insights into the problem solving aspects of each of the functions being performed by subordinates.

Performance standards should be shaped in such fashion that they provide guidance for the incumbent in making decisions—not necessarily just those decisions that can be measured immediately, but those decisions that are essential over the long pull. Recognition of this fact will enhance an individual's activity because this activity is influenced by his role perception, which is largely conditioned by his environment. This environment will determine whether an individual will attempt to solve problems or simply comply with the solutions as applied by someone else. In both situations, where expectations are unknown or inadequately defined, the human capability for solving problems is hindered and in extreme cases can be rendered inoperative. This is another reason why performance standards are so essential to problem solving. The solution to problems is, in turn, essential to the good conduct of the enterprise. The problem solving content of various jobs will permit a matrix evaluation of positions into a logical arrangement for compensation purposes.[8] Problem solving links job evaluation and performance evaluation through performance standards to provide a unified approach to results oriented compensation.

THE PROBLEM HYPOTHESIS

Most problems in an enterprise stem from people failing to properly react to changing conditions. All organizations are faced with problems. In theory, problems can be considered to lie on a continuum labeled "outstanding enterprise failure" at one end, and "outstanding enterprise success" at the other. Problems arise from both extremes and all points between. Relative success in a given enterprise cannot stem from the fact that some are faced with problems while others are not. Success must stem from the quality of the solution applied to the problems confronting the enterprise. By definition, quality includes timeliness and *problem avoidance*. Many business decisions cannot wait until they have been thoroughly researched. Decisions must be made where some factors are "unknown," and in many cases the qualitative aspect of top executive decisions cannot be measured for a period of years. Judgment is the primary skill in dealing with the "unknown" and is included in the definition of complexity.

COMPLEXITY

Complexity can be defined as the skill required to solve problems. What is meant by skill? It is defined as the application of knowledge gained from either experience or formal education or the two in any combination. The application of skill requires judgment and the magnitude of the unknown determines the quality of judgment that must be used in any given situation. Included as part of knowledge would be "know how," and "hunches." The timing and application of skill is considered part of judgment. The purposes or objectives of the enterprise determine the relative value of the multiplicity of the problems faced by the enterprise and hence, the value of each position charged with the solution of these problems.

CLASSICAL MANAGEMENT CONCEPTS

The functions of a manager in broad terms are to plan, organize, direct, staff, control and coordinate the effort of themselves and their subordinates to achieve the purposes or objectives of the enterprise. With few exceptions, these same functions apply in some degree to all work. Most workers, for example, have to do some planning of their activities if their efforts are to end in reasonably productive results. They must organize their activity if nothing else, in order to coordinate their efforts with the normal flow of activities within the department or section where they are working. They control their work and their output to conform with what they consider to be an accepted standard. If they are operating equipment, they control the equipment to some extent and influence the quality and quantity of the output. Workers do not direct or staff, and these functions can be considered as belonging exclusively to management, although workers and work groups influence the effectiveness of these activities. The functions shared by workers and managers differ in the complexity of the planning, organizing, coordinating and controlling that is required, and may be likened to an inverted pyramid. The scalar chain implies as much and the fundamental division of labor reinforces the basic managerial function that everything else being equal, the complexity of a position varies with the level of a position within an organization.

WORK FUNCTIONS

The functions, however, that are applicable to all levels of work are planning, organizing, controlling and coordinating. Planning activities can take place on a day-to-day basis, and in relation to some aspects of work this is all that is required. The principle can be evolved that the higher you go in the organization hierarchy, the longer the time period that must be planned. Also, the long range planning activity encompasses major decisions for use of the firm's economic resources and the selection of alternatives. Planning is for the purpose of problem avoidance by minimizing the unknowns, and/or providing a frame of reference, and is directly related to problem solving. The variables that have to be dealt with on a high level, as opposed to those on a lower level, indicate that the order of judgment and skill required does vary with the complexity of the function. Everything else being equal, the complexity of the function varies with the organizational level where planning is taking place. Organizing activities can take place anywhere in a firm where the basic function is to organize appropriately to achieve a certain result. In management, organizing is for the purpose of grouping subordinates into logical arrangements to best achieve results. On a worker's level, the organizing is generally of things rather than people. In both cases, it is for the purpose of completing work, to work out solutions to problems. Again, the complexity of such problems would normally vary the greater number of variables that must be considered, and the variables would increase in quantity and complexity as you evaluate positions on a higher organizational level.

The basic purpose of control is to check on plans that have been made to see if they are being carried out as intended. Everything else being equal, the complexity of control problems would vary with the number of variables that are being controlled. Control is for the purpose of avoiding or correcting problems.

Coordination is for the purpose of timing the efforts of diverse groups to assure the achievement of established objectives. The problem of synchronizing effort will vary in complexity depending upon the variables that are to be coordinated. Coordination takes place to avoid problems and/or bring about solutions, and the complexity would vary with the organization level.

Direction of subordinates and guidance in their productive efforts are management functions aimed at solving problems that arise from either a lack of or improper direction. The complexities of directing subordinates would seem to vary with the organizational level.

Most problems in an enterprise stem from people failing to properly react to changing conditions.

As can be seen from the above, with the exception of directing subordinates, management and workers perform the same functions. However, the complexities of these functions can and do vary with the position level within the enterprise. With one exception, these functions are in some respects performed by all who work and may be considered universal to work. These functions are performed to achieve results in accordance with the objectives of the enterprise, and in this activity they must solve the problems that arise. Hence, problem solving, in some respects, is common to all work. The assessment of problems that are to be solved should provide a compensable factor for all organizations. If the classic management functions are universal and problem solving is a common denominator of these functions, then problem solving is universal. The varying complexity of such problems should provide a hierarchy of positions that lends itself to compensation arrangements. Human effectiveness in solving problems is essential because most problems stem from human errors or successes, and such problems must be solved by humans. How do you stimulate motivation to solve problems, i.e., results oriented management?

MOVEMENT VS. MOTIVATION

Herzberg's main thesis regarding movement and motivation is to recognize that job satisfaction and dissatisfaction are not opposites and hence, are not on the same continuum. They are separate continua. Therefore, the lack of dissatisfaction doesn't mean the individual is satisfied; it simply means he is not dissatisfied. Many compensation programs, unfortunately, fit the hygienic role by making sure people are not dissatisfied. These programs do not satisfy people because the activities that apparently satisfy most people on the job are what they actually do, which is directly related to job content. Part of this job content is having the immediate supervisor aware of what his subordinates are doing and how well they are doing it. Nothing is more disconcerting than to do a good job and have the man in charge either not know or apparently not care about it. Care must be exercised in differentiating between movement and motivation. People can be moved by threats. Motivation comes from within, and the difficulty with the threatening or the pain approach is that when you get tired of threatening, there is no more movement. Also threats diminish in effectiveness after a time because people become conditioned to them. Herzberg feels money is not what you do but what you get for what you do, in effect, how you are treated, and this, according to his definition, makes money a hygienic factor.[6] What steps, if any, can be taken to move money considerations from hygiene into the realm of motivation?

We know from behavioral psychology that most behavior patterns are formed fairly early in life and, therefore, the amount of change that you are likely to be able to effect on the job is rather limited. However, even minor changes can produce outstanding results especially when these minor changes enable a person to realize some of his desires. Accomplishing something worthwhile from the point of view of the doer, and knowing that money recognition follows, can motivate people to a surprising extent. This internal satisfaction, if it is directly geared to on the job performance reviews, devoid of the usual ritualistic paraphernalia that is in far too many cases characteristic of compensation programs, can provide a base for compensation motivation. To look at it differently, how meaningful would the sense of achievement be if there were no monetary rewards? Companies which have tried to substitute one for the other, that is, achievement for money, have stirred up a great deal of resentment. This resentment can and does detract from feelings of achievement and self-worth and hence, will detract from the motivation that should stem from a feeling of accomplishment. The primary influence will be on future accomplishments.

Most problems stem from human errors or successes, and such problems must be solved by humans.

If money is used to move people, it costs more and more to move people less and less. Monetary increases to move people are subject to the "what have you done for me lately syndrome" and consequently, the manager, even though he provides these programs in abundance, must be prepared to deal with perpetual discontent.[7] The tragedy is that in many cases feelings of low self-worth are manifested in complaints that generally deal with wages and fringes as a means of expression. Answering the complaint directly is not an appropriate solution to the problem because a satisfied need is no longer a stimulus for motivation.

It would appear that the compensation program that is going to invoke the greatest motivation on the part of the work force would be one where the problem solving content of each job was related in a matrix fashion to establish the parameters available for compensation in accordance with the company's ability to pay.[8] This would mean establishing a budget based upon a trend analysis whenever possible between revenue producing activity and total labor expense. In addition to the use of the matrix to establish the relativities of the potential earnings and various position levels in the organization, the use of performance standards should enable a subordinate to know when he is doing the job properly. The supervisor should also know, and this provides a logical and flexible basis for the administration of increases. Contrary to the formalized approach to merit increases, the performance evaluation increase should be given when a supervisor feels that an individual's performance is above the base standard established by mutual discussion and merits recognition. In some cases an employee may be reviewed for increases once every three or four months or perhaps even more frequently, and in other cases for a period of a year or longer. A standard job calls for standard pay, not exceptional pay..

We know from behavioral psychology that most behavior patterns are formed early in life and the amount of change you are likely to make on the job is limited.

In order to put motivation into the compensation program, the individual must make a commitment in terms of what he is going to perform and then do it. When he does it, he must receive recognition from his supervisor, not only verbal recognition in terms of achieving a standard, but when required, a merit increase that indicates that the individual's performance is meritorious. When the individual knows that the relative potential earnings of each position in the organization are based upon the problem solving involved in each position, he is more receptive to the differences in pay that have been established. Generally, internal rather than external comparisons are more important to employees in a given organization. Performance standards provide the cornerstone for not only evaluating individual performance, but for assessing the problem content of each position and providing for a matrix evaluation of positions within the organization in accordance with their problem solving content. The individual commitment necessary to perform under a performance standards program should assist in stimulating motivation. In effect, you are compensating results not tasks and when this happens, money will stimulate motivation on the part of workers. Such a plan is compatible with Hull's studies regarding motivation because pay follows immediately after performance, and this closeness sets the stage for future secondary reinforcement.[9] The pay plan must fit the organization. As Edward Lawler III has pointed out, pay is important to people and decisions about pay are watched by everyone as a barometer of management intentions.[10] Various studies reported by Lawler suggest that pay for performance leads to high pay satisfaction.[11]

If money is to stimulate motivation it must be related to job performance in a direct fashion.

If money is to stimulate motivation it must be related to job performance in a direct fashion and must provide for a very short time span between performance and monetary recognition. You can't relate money to performance until you know what constitutes acceptable performance. Setting standards of performance is the first step. In the conduct of these conferences a commitment from subordinate to supervisory approval is the cornerstone of motivation and results-oriented management. These standards will assist in clarifying role perception and the problem solving required will be apparent. This will assist in determining the amount of potential compensation allowable for the function. The relationship between total labor expense and revenue producing activity provides for flexible compensation limits and appropriate budgets. The policy would be established through

(Continued on page 26)

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Theory Y Compensation

(*Continued from page 18*)

these processes and the decision making decentralized. The sum total of these programs would aid a firm in achieving results oriented management, the Theory Y end of the continuum. Once established, management must exercise the utmost integrity in carrying out such a program to avoid the credibility gap that can decrease the effectiveness of such a program.

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CHARLES D. McDERMID

Charles D. McDermid, "How Money Motivates Men," *Business Horizons*, 3 (Winter 1960), 93-100. Copyright, 1960, by the Foundation for the School of Business at Indiana University. Reprinted by permission.

How *Money* Motivates *Men*

For many corporations, payroll represents the major cost of doing business. More than 50 per cent of our gross national product is paid each year to employees for their time and effort. And yet the expenditure of this vast sum of money, presumably to motivate men, has been subjected to surprisingly little research, and to even less theoretical discussion. Those studies that have been made of compensation are generally of the survey variety; they emphasize *what* is being done, not *why* it is being done, or what *should* be done. How to get the most out of each payroll dollar is seldom studied.

Modern management is deeply concerned with the motivational impact of financial incentives. It no longer trusts the attitude of the old-line foreman who told me, "But money does work. Just put an extra dollar in that guy's pay check—or take the dollar away—and you'll see what effect it has." In too many companies—companies with high wages, profit sharing, elaborate benefit programs, and incentive systems—money has not worked. Consequently, responsible managers are asking:

> Is our wage and salary level adequate? And what determines an "adequate" level?
>
> How about our sales bonus—what effect does it have?
>
> Is our management incentive plan paying off?
>
> What is the value of a stock option plan?
>
> Will profit sharing work for us?
>
> Just how motivational is our benefit program?
>
> And how about our entire compensation package? Does it have an optimum balance of base salary, incentive payments, protective provisions, benefit plans, and perquisites?

To tackle questions such as these, one must have a basic understanding of what money means and how it motivates men. With this understanding, a compensation program can be designed so as to achieve maximum motivation at lowest possible cost—in both human

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and financial terms. In this way, the needs of employees can best be met and the attainment of corporate objectives best ensured.

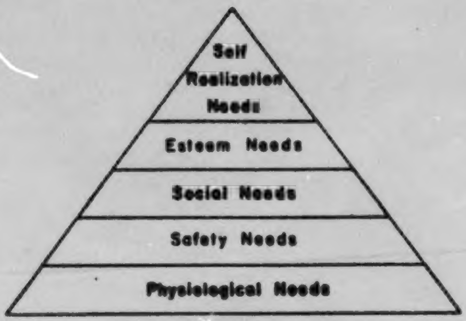
HUMAN MOTIVATION

Traditionally, compensation practices have been based on the classic economic theory that man is a rational animal motivated by the desire to maximize his economic gains. This premise has given rise to the belief that employees can automatically be motivated to produce more by the promise of additional money. As a theory, this economic concept of man has often been decried; its limitations have repeatedly been exposed (for example, even under piecework incentive systems output is often restricted); yet it still forms the basis for most of our compensation practices today.

A psychological theory of motivation, first advanced by Maslow,[1] provides better insight into the dynamics underlying human behavior. The essence of this theory is well illustrated in the famous anecdote about Samuel Gompers, for a long time president of the American Federation of Labor. When Gompers was asked, "Just what do the trade-unions want?" he replied, "More!" His answer goes beyond union philosophy; it sums up all human motivation. *Man always wants, and wants more*. As Maslow has phrased it, "Man is a wanting animal."

Two further principles are of basic importance in Maslow's theory. One is that man's wanting depends completely on what he already has. *Satisfied needs do not motivate behavior*. Only needs not yet gratified exert any considerable force in influencing what we do. The other principle is that *needs and wants are arranged in a hierarchy of importance*. As soon as needs on a lower level are fulfilled, those on a higher level emerge and demand satisfaction. When man operates at these higher levels, classic economic theory gives a very incomplete picture of human motivation.

The hierarchy of needs is arranged in a pyramid of five levels, from basic physiological drives at the bottom to the desire for self-realization, the highest expression of the human spirit, at the apex. Graphically, these need levels can be arranged thus:



To fill out this diagram, a brief description follows for each need level.

Physiological Needs

The physiological needs are the needs for oxygen, food, drink, elimination, sexual satisfaction, rest, activity, and temperature regulation; these are the basic drives of human behavior. If a person is really deprived of any of them (with the possible exception of sexual activity), he will bend every effort to satisfy this need. The starved man thinks only of food, wants only food, perhaps hallucinates about food, and so directs all his behavior to obtain food. Similarly, the drowning man wants only to breathe; an overworked executive yearns for sleep; the consuming public buys air-conditioners during a heat wave. Even the sexual needs, which from the standpoint of survival are comparatively mild, can completely dominate the behaving organism.

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Once these needs are satisfied, however, they cease to be important motives for behavior. How many people think about their need for air except when they are deprived of it? Food and drink, sleep and activity needs, at least in American civilization, are so readily satisfied that they do not often dominate our goal-seeking. On the other hand, sex receives so much emphasis in our culture because it is the one physiological need not always satisfied. To the extent, then, that basic needs are satisfied, they cease to motivate behavior, and new and higher needs emerge, demanding satisfaction in their turn.

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[1] For a more complete presentation of this theory, together with considerations and qualifications that must be omitted here, see A. H. Maslow, *Motivation and Personality* (New York: Harper & Brothers, 1954), especially pp. 80-106.

Safety Needs

The safety needs are directly above the physiological in this hierarchy. These include the need for protection from physical danger (fire, accidents, criminal assault, and so forth); for economic security (by means, for example, of various social insurances); for the familiar rather than the unfamiliar; and for a religious, philosophic, or scientific ordering of the chaotic into a meaningful whole. R. K. Burns[2] has described these as needs for economic security and emotional surety.

The healthy adult in our society feels at least a minimal satisfaction of his safety needs, and consequently their motivating force is a diminished one. But we have only to turn to the child or the neurotic to see how all-important safety needs can be. A child confronted with a new or strange situation may panic and cling to his mother for security. The neurotic, threatened by anything unexpected or unfamiliar, will go to great lengths to hedge his world in with familiar symbols of safety. And even with healthy adults, to judge by collective bargaining demands, protection against the risks of old age, sickness, and unemployment are important motives for behavior—once a living wage, that is, provision for food and drink and shelter, has been provided.

Social Needs

Love, affection, and "togetherness" seem most important to the individual who has satisfied his physiological and safety needs. Now he wants to belong, to find acceptance, to be part of a group. Deprived of family and friends, he will feel the need for them with all the intensity of a hungry man for food.

Unlike physiological and safety needs, social needs are not readily satisfied in our culture. The flight from the family farm and small town community, often to impersonal urban centers, and our traditional taboo on tenderness have helped to prevent fulfillment of these needs. Consequently, social needs have become a dominant motivating force in the United States. Incentive workers who restrict output in accordance with group pressures are motivated by this powerful need to belong. For the same reason, some young people develop a loyalty to their gang that yields to no outside pressure.

These instances are relatively new expressions of ways in which Americans are trying to compensate for the loss of social roots that once gave them their sense of belonging. Social needs, comparatively unsatisfied, have become primary motives for much of our behavior.

Esteem Needs

Next in the hierarchy of needs are those relating to esteem, both self-esteem and the esteem of others. The need for self-esteem includes the desire for personal worth and dignity, for strength, for competence, achievement, and mastery, for independence and freedom. The need for the esteem of others includes desires for attention and recognition, for status, prestige, and reputation, for importance and power.

These needs are obviously important determinants of behavior. The very real need of "keeping up with the Joneses," of joining the best club, of getting the better office, of driving the right car, or of having a socially acceptable address—all these are manifestations of needing the esteem of others. Self-esteem, too, takes various forms: for example, the need to feel the importance of one's work or to take a stand on some moral issue.

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[2] Robert K. Burns, "Management and Employee Motivation," *Public Personnel Review*, I (April, 1959), 122-27.

Esteem needs are capable of satisfaction in the American culture, but generally a good deal of effort is required to ensure their gratification. Accordingly, fulfilling the needs for esteem is today an important motivating force in our behavior.

Need for Self-Realization

Self-realization is the ultimate in the hierarchy of needs. In the language of philosophy, it entails the fulfillment of one's highest potential. It refers to doing or being what one can do or be; it requires making use of all one has, to become everything that one is capable of becoming.

As human potentials vary from individual to individual, so must self-realization. Advancing nuclear theory, writing poetry, playing golf, managing an enterprise, or being an ideal mother can all be expressions of self-realization. The one characteristic underlying all these activities is fulfillment of capacity, whether that capacity is large or small.

Examples of self-realization are rare. We may conclude, I am sure, that no human being has ever fulfilled all his potential. Maslow cites Abraham Lincoln and William James, among others, who have come relatively close to self-realization. As more people have their lower needs more and more satisfied, it can be predicted that a greater number will work towards fulfilling their potential. This, in fact, may be considered the ultimate test of any civilization: To what extent does it give its citizens the opportunity for self-realization?

QUALIFYING FACTORS

Multiple Motivation

Activity generally involves several sources of driving power; often many needs interact to bring about a given bit of behavior. An act of love, for example, may be motivated by needs for affection, for dominance, for self-realization, as well as for sexual release. The discussion of a need hierarchy, therefore, should not be taken to imply that a lower need level is the sole motive for all behavior until completely satisfied, at which point the next need emerges and dominates behavior until in turn it is satisfied. Need levels are indications of relative, not absolute, importance. To quote Maslow: ". . . if prepotent need A is satisfied only 10 percent, then need B may not be visible at all. However, as this need A becomes satisfied 25 percent, need B may emerge 5 percent, as need A becomes satisfied 75 percent, need B may emerge 50 percent, and so on."[1] Behavior is effected by multiple and interacting needs, arranged in a rough hierarchy of prepotency.

Frustration

The motivation theory we have described so far is essentially a positive one. We have considered only goal-directed behavior, that is, activity oriented *towards* a goal. Goal-seeking of this simple type calls forth relatively rational and logical behavior to achieve the desired end result.

But it should be noted that seldom is human activity so neatly ordered. Generally, something complicates our goal-seeking. This barrier calls forth two basic types of behavior: ingenious attempts to solve the problem, or frustration. In human affairs, the latter is frequently the case; in fact, most theories of human motivation, including Freud's theory, have dealt largely with frustration-instigated behavior.

Frustration evokes the emotional reactions of aggression, regression, fixation, and assorted defense mechanisms. Behavior that was formerly orderly and rational becomes disorganized and emotional; instead of bending his behavior towards a goal, the individual must cope with emotions aroused by fleeing from the barrier. If the attempt to cope with these emotions is radically unsuccessful, neurosis or psychosis may result. Eventually, psychotherapy may be needed to probe beyond the emotional reactions of the individual, reach the original barrier or barriers, help to resolve it or them, and so set the behaving organism on the positive road to goal-seeking once again.

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[1] *Motivation and Personality*, p. 101.

While such extremes as these are not the common experience of industrial organizations, modified forms of frustration-instigated behavior do occur. One form is responsible for a militant union's fighting for more money and bigger benefits when it has already secured the best pay in the area. Frustrated in satisfying higher needs, the men (and their union) have regressed to a previously satisfying form of behavior—that is, the original satisfaction of their physiological and safety needs. As labor history so pointedly illustrates, no additional amount of money will satisfy them now, though they will continue to expend their efforts in this direction. Instead, the frustrating barriers to the satisfaction of social and esteem needs must be removed in order to cancel out these negative expressions of militant unionism.

As Likert's modified theory of management[4] points out, these patterns of negative behavior exist throughout the echelons of management too. Frustrating an executive's need for status by, for example, a reduction in office appointments or window space, can be just as damaging as cutting his pay. He will react negatively and emotionally. But to take a less obvious example, consider the frustration of such a need as pride in the significance of one's job; if this need is not fulfilled, the resulting vague discontent may motivate the executive to seek a higher salary as an indication of his worth, while the true cause of his discontent remains unallayed. Instances of this sort are too numerous to list. But the main point deserves emphasis: Money substitutes in an imperfect way for the satisfaction of certain higher needs. A man who has these needs frustrated cannot be truly satisfied or motivated by a raise in pay since money cannot buy what he wants.

Functional Autonomy

Another aspect of human motivation that has special relevance to money is the curious phenomenon known as functional autonomy. Briefly stated, this is the idea that goals once desired as means to an end can become goals desired for their own sake. A miser, for example, may once have valued money for the physiological and safety needs it satisfied, but eventually he came to regard money as valuable in its own right.

This concept helps explain why a Rockefeller, a Carnegie, or a Getty may work to his death accumulating wealth that he can never spend. Money no longer serves as an exchange symbol for such men; it has become functionally autonomous, divorced from the original reason for its value.

In most organizations there are employees, especially in the upper echelons, for whom money and money-making have become functionally autonomous. For such individuals, money has a direct significance not dependent upon its purchasing power. It is in itself the most powerful incentive, for it directly satisfies their dominant needs.

Employee Surveys

Psychologists in industry have conducted many studies asking workers what they want from their jobs.[5] Such surveys typically produce the following results: In order of importance the items most wanted are steady work; opportunity for advancement; good supervision; desirable work group or companions; good pay; and desirable type of work, working conditions, hours, and benefits.

According to the theory proposed in this paper, those needs at the bottom of the ranking, hours and benefits, are relatively well satisfied, whereas those at the top of the list, such as steady work, are not. Such surveys, in other words, indicate those needs that are dominant because they are not fulfilled.

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[4] For a popular presentation of this theory, see the interview with Rensis Likert, "How to Raise Productivity 20%," *Nation's Business*, XLVII (August, 1959), 30-32, 40, 42-44.

[5] See, for example, C. E. Jurgensen, "What Job Applicants Look for in a Company," *Personnel Psychology*, I (Winter, 1948), 433-35.

Obviously, certain factors will affect these surveys. Results will vary from organization to organization, from echelon to echelon; age and sex may influence them. The manager interested in meeting the needs of his workers will take an individual reading on the deprivations that his work force feels and adjust his employee relations program accordingly.

Wage and salary administrators, too, need to be aware of these factors. As Meiklejohn has pointed out,[8] different financial needs are characteristic of different employee levels in an organization. Attempting to meet these needs with uniform compensation practices makes inefficient use of money-motivation. Ideally, needs should be identified for each group through such a technique as a depth survey; then the compensation package should be adjusted to meet these needs. The results may range from supplemental unemployment benefits for the rank and file to stock options for top management. Maximum motivation at lowest cost is the desired end result.

THE MEANING OF MONEY

How does all this theory relate to the role of money in motivating behavior? What does compensation represent to its recipients? What needs does it fulfill?

Obviously, the first meaning of money lies in its power to buy satisfaction of the basic physiological needs—food, clothing, and shelter. Closely allied to these basic needs are certain acquired needs with a physiological basis, such as the need for tobacco. It is only after these fundamental drives have been relatively well satisfied that any major amount of money will be diverted towards other goods.

Next in the hierarchy of needs is the category termed safety, a major expression of which, in today's culture, is the need for financial security. Here money represents insurance against physiological deprivation and against the financial hazards of poor health, old age, and unemployment. Collective bargaining demands for security, as well as such common phenomena as buying life insurance and "putting away for a rainy day," are obvious examples of using money to satisfy safety needs.

Money can also facilitate satisfaction of the social needs, the third level in the hierarchy, but only indirectly. Thus one can purchase membership in a country club, but the actual exchange of friendship and love does not necessarily result. The biggest benefit of money at this level lies in freeing the individual from the insistent clamor of his physiological and safety needs so that he can attend to his social wants.

The situation is different in the case of the esteem needs. The American way of life has stressed money as the measure of status and achievement. Hence it has become most important to the satisfaction of esteem needs. The extent to which this is ingrained in our sense of values can be seen not only in one man's evaluation of another on the basis of his financial show, but even in the dependence of his concept of himself on the amount of money he makes. Many men, in other words, are willing to accept their salary as the indication of their worth. Compensation has become important on this level not only for what it buys, but also for what it means, both in judging one's self and one's neighbor.

What about self-realization at the peak on the need pyramid? Money is of little importance in gaining fulfillment at this level; it can do no more than remove obstacles to self-realization. Here the role of money is to satisfy the physiological and other needs so that the individual is free to devote his efforts to fulfilling his potential.

From the preceding paragraphs it can be seen that money is efficient in satisfying needs at the lower levels since it can be quickly and directly converted into ways and means of satisfying individual wants. A great variety of foods, clothes, and shelter arrangements can be bought. But at higher levels in the hierarchy, the situation is more complicated.

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[8] Robert P. Meiklejohn, "Financial Incentives Beyond Base Pay," *Management Record* (May, 1958), pp. 165-70.

Man's striving for money, once his basic needs are satisfied, often becomes a substitute for the true satisfaction of his higher needs. It might be instructive at this point to examine how this happens, and what can be done about it.

Offering a money wage to an employee is based on much the same principle as dangling a carrot in front of a donkey. High wages are a reward for productive work. Conversely, withholding money by demoting or firing the employee is a form of punishment for poor work, much like the cancellation of a child's treat. This system of rewards and punishment is effective at lower need levels since the gratification of physiological and safety needs is largely dependent on buying outside sources of satisfaction. When a man is motivated by these needs, he can be controlled by the granting or withholding of money. But the source of satisfaction for higher needs lies within each individual. The man motivated by social or esteem or self-realization needs is not easily controlled by external rewards and punishments; consequently, money *per se* is a relatively weak motivating force. As D. M. McGregor puts it: ". . . direction and control are useless methods of motivating people whose physiological and safety needs are reasonably satisfied and whose social, egoistic, and self-fulfillment needs are predominant."[1]

People in many walks of life are motivated to work by incentives other than money. The dollar-a-year men in Washington, religious leaders, scientists and academicians, dedicated trade-unionists, and creative artists take pride in the significance of their work; they attach personal and social values to it. Within the large corporation, too, there are many who will respond as readily to work of intrinsic interest and value as to financial rewards, which are always extrinsic to any job.

This means two things to management:

1 Do *not* rely exclusively on further increases in wages and security benefits to motivate employees, once adequate wages and benefits have been established.

2 *Do* create conditions conducive to a man's satisfying his social and esteem and self-realization needs on the job.

For management the important conclusion to be drawn from the whole theory is that no one incentive is the only answer to motivating men on the job. Money is powerful, but its power is limited. Aiding group activities, creating opportunities, recognizing worth, encouraging growth, and fostering individual expression can also promote employee effort, in some cases more effectively than money. It is the responsibility of management to understand those factors that motivate their men, and to arrange conditions and methods of work so that employees can best achieve their own goals by directing their efforts towards organizational objectives.

PRACTICAL APPLICATION

This money-motivation theory can be used to evaluate any compensation device and to help determine how to maximize its motivational impact. Let us take, as an example, a management incentive plan. The questions basic to our study are:

> How well is this management incentive plan attracting, retaining, and motivating superior men?
>
> Is it successful? Are its returns greater than its costs to the corporation?
>
> How can this management incentive plan be improved?

Specific hypotheses may be formulated from the money-motivation theory set out in the preceding paragraphs. It is obvious from the following list that all these hypotheses cannot be true at one and the same time. The aim here is to cover every possibility.

Positive motivation

Incentive awards primarily represent purchasing power to recipients (physiological need level).

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[1] D. M. McGregor, "The Human Side of Enterprise," in *Adventure in Thought and Action* (Cambridge: Massachusetts Institute of Technology, 1957), p. 28.

Incentive awards primarily represent financial security to their recipients (safety need level).

Incentive awards primarily indicate the participants' belonging or participating or contributing to the corporate welfare (social need level).

Incentive awards primarily confirm one's own sense of achievement for a job well done (self-esteem need level).

Incentive awards primarily indicate recognition of one's contribution to the corporation (other-esteem need level).

Incentive awards primarily encourage the recipient to fulfill his potential (self-realization need level).

Negative motivation

Reducing or withholding incentive awards (for mediocre performance) increases the intensity of positive need gratification.

Reducing or withholding incentive awards (for mediocre performance) produces frustration effects inimical to the accomplishment of the plan's objectives.

It should be clear from the first part of the article that a given hypothesis might be true for one group—stratified according to executive level, job function, salary, and so on—and not for another. Accordingly, data to test the truth or falsehood of the hypotheses must be collected in sufficient depth and breadth to permit detailed analysis in every dimension.

Three stratified random samples of management personnel, distinct but comparable, should be selected for depth interviews, survey questionnaires, and projective sentence-completion forms, respectively. These techniques should be designed so that they indicate how participants feel about their management incentive plan, how they think it affects their behavior and the behavior of their superiors, peers, and subordinates, and what they suggest to improve it.

All three investigatory techniques should be so ordered as to yield information pertinent to the hypotheses listed above. In this way each hypothesis could be supported or denied by the data, and the degree of support or denial indicated. In addition, the validity of each hypothesis could be determined for specific groups of participants stratified according to such dimensions as age, income, echelon, and function within the corporation.

As a result of all this information, the management incentive plan could be tailored to the express needs of management personnel—and of the corporation. In this way, both personal and corporate objectives could be more perfectly realized, with profit for both parties.

Results from the research outlined above could help shed light on one of the questions raised in the introduction to this article: "Is a given management incentive plan paying off?" Similarly, this approach could be used to structure research on other questions related to money and motivation; the efficiency of any compensation device could be studied in this way.

The prototype described in the previous section could, moreover, serve as a model in the study of an entire compensation program. All elements in the package—base pay, incentive plans, protective provisions, benefit programs, and perquisites—could be evaluated in their relationship one to another. Then if it were found that a given level of employees was primarily motivated by physiological needs, great emphasis could be placed on base pay; by safety needs, on protective provisions; by esteem needs, on perquisites.

Thus, through an understanding of what needs were motivating men and how money could be used to satisfy them, the compensation program could be so ordered as to achieve maximum motivation at lowest possible cost; the needs of each individual would best be met, and the attainment of corporate objectives best ensured.

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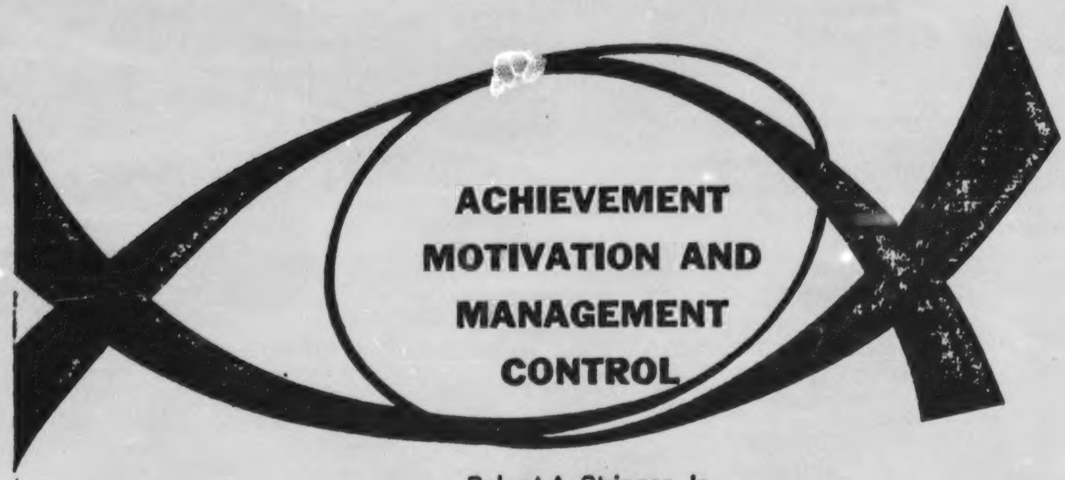

ACHIEVEMENT MOTIVATION AND MANAGEMENT CONTROL

Robert A. Stringer, Jr.

What are the dynamics of motivation in work situations? Can management control processes reinforce achievement-oriented behavior?

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Most adults carry around with them the potential energy to behave in a variety of ways. Whether or not they do behave in these ways depends on (1) the kinds of motives or needs a person has, and (2) the characteristics of the environment.

A person's motivation is said to depend on three factors. First, the "basic" strength of the particular motive; second, the person's expectation that he can satisfy the motive in this situation; and third, the amount of satisfaction the person anticipates.

The final two determinants of aroused motivation are not part of a person's personality. They are not inside the person. They can be considered characteristics of the environment, because they change as the person moves from situation to situation. Different work settings signal to the individual that different kinds of satisfactions can be gained by behaving in certain ways. These signals (or cues) lead to different kinds of motivation. By understanding the varieties of human motivation, managers will be in a better position to control the activities of their subordinates.

It is assumed that every individual personality is composed of a network of these basic motives. Some of the more important motives that have been studied are:

- **Need for Achievement** . . . the need for competitive success as measured against some standard of excellence;
- **Need for Power** . . . the need for personal influence and control over the means of influencing others;
- **Need for Affiliation** . . . the need for close interpersonal relationships and friendships;
- **Fear of Failure** . . . the fear of competition or criticism when involved in an activity that is to be evaluated.

Motives are generally acquired during a person's early years, and they remain relatively unchanged in adult life. *Motivation*, however, is determined by the interplay between a person and his environment.

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The author wishes to express his appreciation for the assistance and advice given by Robert H. Caplan, lecturer, Harvard University Graduate School of Business Administration.

Thus a man's *motivated behavior* may change radically throughout his adult life.

Achievement Motivation

Managers must concern themselves with *motivation to accomplish results.* When a man's motivation to achieve is aroused, accomplishment of the task will be its own best reward. The significance of achievement motivation revolves around this notion of self-reinforcing performance. When we speak of "self-motivated" men, we refer to men who are acting to satisfy their need to achieve.

It is not surprising that McClelland found high levels of achievement motivation associated with entrepreneurial behavior, innovative risk-taking, and business success.[1] Men with a high need to achieve ("high achievers") tend to:

1. seek and assume high degrees of personal responsibility,
2. take calculated risks,
3. set challenging, but realistic goals for themselves,
4. develop comprehensive plans to help them attain their goals,
5. seek and use concrete, measurable feedback of the results of their actions, and
6. seek out business opportunities where their desires to achieve will not be thwarted.

McClelland has also pointed out that environmental factors greatly influence achievement motivation.[2] This, of course, is consistent with our principles of motivation. But what are the critical dimensions of the environment that influence motivation to achieve? Recent research has sought to answer this question.[3] The implications of this research, although tentative, seem clear. High achievers will be attracted to those business environments which offer:

1. personal responsibility for accomplishments,
2. freedom to pursue goals by means of one's own choosing,
3. prompt and unbiased feedback of the results of action,
4. moderately risky situations, and
5. consistent rewards and recognition for jobs well done.

These climactic factors seem to stimulate achievement motivation in the individual. They add up to excitement and satisfaction.

Climate and Control

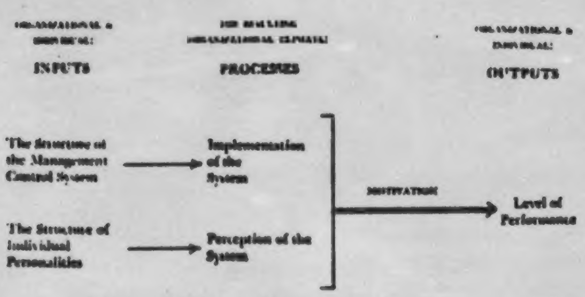
By creating the right kind of climate, managers can have a very definite impact on the achievement motivation of their subordinates. They can present these individuals with new sources of satisfaction and new opportunities to achieve, thereby arousing achievement motivation. Once aroused, achievement-oriented behavior will be self-rewarding. Thus, the manager need not exercise constant and forceful restraint on his subordinate's activities.

An important tool in the hands of management to influence the climate of their organizations and the motivation of their subordinates is the management control system. We will define control systems as those processes and structures by which managers assure that resources and energies are put to work serving the objectives of the organization.

Every individual interprets or perceives the control system differently, and therefore the concept of "organizational climate" is needed. When we speak of environmental influences on human motivation, we are referring to the perceived environment; that is, the climate. *(See Exhibit 1.)*

Climate is determined by the structure *and* the implementation of the control system, and the values and attitudes that each manager brings to the job of control. For example, the managers in Division A might

Exhibit 1


INPUTS
PROCESSES
OUTPUTS
The Structure of the Management Control System
Implementation of the System
The Structure of Individual Personalities
Perception of the System
Level of Performance

be sticklers for detail and insist on following the prescribed control procedures exactly. Managers in Division B, operating under a very similar structure, may choose to ignore a lot of the detailed rules or procedures. In this kind of organization, the two divisions may perform very differently. Why? The answers, on the surface, seem to be obvious. "People in Division A resent all the rules and regulations." Or, "Division B performs well because the workers are 'motivated' to do a better job."

Such explanations do not help the manager do his job better. Such explanations describe, rather then analyze, the causal factors involved. Analysis requires understanding. This article aims to provide a basis for better understanding of the dynamics of human motivation in work situations. We will present eight propositions about motivation to achieve.

It is assumed that there is a certain "base level" of motivation to achieve operative at the present time, but that the full potential of this achievement motivation is going unrealized. The basic strategy of these eight propositions is to program the management control processes in such a way that achievement-oriented behavior is reinforced and rewarded.

PROPOSITION 1: ***Achievement motivation will tend to be aroused if the goals of the responsibility center are made explicit.***

Achievement motivation, by definition, refers to competition with a standard of excellence. This standard may be internal (within the individual's own mind) or external (stated by the organization within which he works). By making external performance standards explicit, individuals can include them in their internal frame of reference. The specific goals and objectives of the responsibility center can become part of each individual's future plans. Personal achievement can be defined in terms of the yardsticks and measurements which are most important to the organization. That is, if quality is less important than pure volume, it would be dysfunctional for workers to strive for 100%-perfect quality. By making the quality standards explicit—both as to the specific level *and* the relative importance of other goals—achievement energies can be channeled into more useful pursuits.

PROPOSITION 2: ***Achievement motivation will tend to be aroused if goals represent a moderate degree of risk for the individuals involved.***

Individuals with high motivation prefer to work under conditions of moderate risk. That is, the subjective probabilities of success should be about 50-50. If goals seem to be speculative and the likelihood of success is very low, motivation to achieve will not be aroused. If the goals are too conservative and the likelihood of success is

(continued on page 14)

ACHIEVEMENT MOTIVATION AND MANAGEMENT CONTROL

(continued from page 5)

quite high, motivation will not be aroused. Moderately risky goals represent a continuing challenge, and it is this element of challenge that must be stated in the goals of the responsibility center and the goals of the individual.

Several alternatives are open to the manager in implementing this proposition. He may assess the chances of success and failure for his subordinates and impose a goal that, in his mind, seems like a moderately risky one. Or he may rely on his subordinate's judgment and opinion, and allow the subordinate some freedom in setting his goals. *(See Exhibit 2.)*

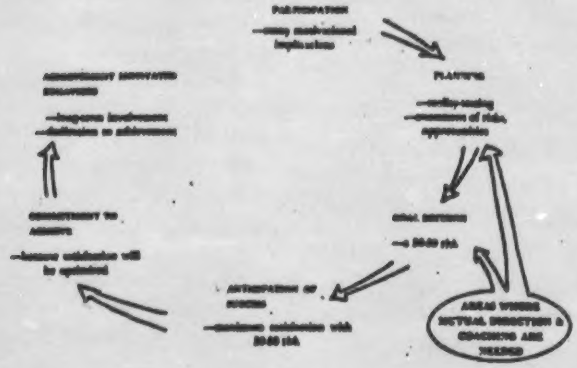
PROPOSITION 3: ***A higher level of achievement motivation will tend to be aroused if provision is made in the management control process for adjusting specific goals when the chances of goal-accomplishment change significantly (from the 50-50 level).***

The facts of business life are clear: environments are continually changing, and the chances of success change with each change in the environment. Even without any significant change in the environment, the odds of success may change as additional information about the tasks and the critical skills become known. A calculated risk in January may become an impossible goal by May.

To achieve flexibility, there are at least two alternatives open to management. First, the formal reward system could be adjusted to account for the risk elements of performance. Subordinates who succeeded in accomplishing goals that were judged to be 50-50 risks could be paid more than subordinates who worked toward conservative or speculative goals. A second alternative could be to have a provision for systematic review and adjustment of goals when the odds of success deviate significantly from the 50-50 criteria.

The second alternative is the most desirable. By providing for changes in individual and responsibility center goals, the control process will be facilitating the development of achievement motivation. By forcing managers and their subordinates to examine their objectives and by insisting that these objectives remain challenging (that is, with 50-50 odds of accomplishment), the entire climate of the organization can be injected with new excitement and achievement.

Exhibit 2


PARTICIPATION
PLANNING
GOAL SETTING
—a 50-50 risk
ANTICIPATION OF SUCCESS
—maximum satisfaction with 50-50 risk
COMMITMENT TO ACHIEVE
—because satisfaction will be optimized
ACHIEVEMENT MOTIVATED BEHAVIOR
AREAS WHERE MUTUAL DIRECTION & COACHING ARE NEEDED

PROPOSITION 4: ***Achievement motivation will tend to be aroused if managers are evaluated in terms of their goal setting behaviors.***

Because of the central importance of goal-setting, the creation of an achieving climate will be furthered by zeroing in on this activity when evaluating individual managers.

We are not suggesting that managers be rewarded in proportion to their *performance* compared to the degree of risk (this idea was rejected in 3). Rather, we are suggesting that they be rewarded for setting moderately risky goals.

PROPOSITION 5: ***Achievement motivation will tend to be aroused if individuals are given feedback of the progress they are making toward their goals.***

Empirical research has found that high achievers characteristically desire concrete feedback of the results of their actions. This feedback not only gives them achievement satisfaction, but it helps them plan ahead and set more realistic goals in the future. Further proof of this point is that high achievers tend to *seek* jobs which provide for immediate and tangible feedback, such as sales positions.

Several aspects of performance feedback are especially important. It should be: (a) prompt, (b) unbiased, and (c) relevant. The implications of these aspects of the feedback process on management control are far-reaching.

When feedback of performance is given only pertinent information should be used. A wealth of data tends to confuse, rather than motivate, managers. One successful attempt to solve this problem involves the extensive use of graphic presentations.

PROPOSITION 6: ***Achievement motivation will tend to be aroused if there is a climate that emphasizes individual responsibility.***

High achievers seek success, and unless they can plainly see that their success is truly theirs, little achievement satisfaction can be gained. To increase the opportunity for achievement satisfactions, the organization must place a premium on the assumption of personal responsibility at all levels of management.

Man tends to live for bread alone when there is little bread.—MCGREGOR in *The Human Side of Enterprise.*

In both the goal-setting and performance review processes, a climate of responsibility will be created if (1) there is a "results orientation" and (2) there is sufficient "coaching." By focusing on the desired results, the entire achievement syndrome is forced upon the manager, for *a results-orientation focuses on those aspects of the subordinate's behavior which are critical to his personal achievement and the achievement of the firm.* Other issues will be placed in secondary positions.

PROPOSITION 7: ***Achievement motivation will be aroused if the rewards and punishments formally provided for as part of the management control system are perceived as consistent with achievement goals.***

One consequence of the development of high levels of achievement motivation is that achievement itself becomes the most important reward. High achievers derive most of their satisfaction out of doing a good job, not out of receiving the external rewards associated with success. Formal organizational rewards are important, however, for they satisfy other personal needs and they may *symbolize success.* Thus, careful control of organizational rewards and punishments may be useful in arousing achievement.

Researchers have found that high achievers *expect to be punished* when they fail to achieve their goals. Such expectations seem to make success all the more satisfying. If organizations fail to discriminate between success and failure, or if punishments are not associated with failure to accomplish results, the entire reward system will have relatively little effect on achievement.

The fourth consideration raises important theoretical and practical questions. Rewards and punishments should be dispensed to individuals, not to groups or responsibility centers.

When rewards are given to groups rather than to individuals, personal accomplishments may be buried, making it difficult to arouse entrepreneurial spirit. A formal reward system built around individual rewards for individual accomplishments is more consistent with the six preceding propositions.

PROPOSITION 8: ***Achievement motivation will tend to be increased when there is a climate of mutual support and encouragement.***

The theoretical support for this proposition goes beyond the relatively simple concepts of achievement motivation that have been presented earlier. Briefly, it has been found that the motive, Fear of Failure (or Need To Avoid Failure), debilitates motivation to achieve. A high level of the failure motive will proportionately weaken the resultant achievement motivation.

The creation of a supportive climate tends to reduce anxiety and negate many of the dysfunctional effects that anxiety is likely to have on continued high performance. To stimulate achievement motivation, support must be task-oriented. If task-related support and encouragement is stressed, the entire organizational climate can become "self-generating." That is, *mutual support* will act as a powerful reinforcement device. Coaching, helping, informal encouragements, and other reciprocal supportive relationships can solidify the arousal effects of propositions 1 through 7.

Summary

Arousal of achievement motivation is desireable *when there is an entrepreneurial function to be performed.* When risks must be taken, when specific objectives must be set and met, and when individuals must act on their own initiative and live with their results, the proper framework for control revolves around these eight propositions.

The ultimate responsibility for implementation of these new management control processes must lie with line managers. Control personnel can describe and initiate the framework, but they cannot create the on-going working climate that is required. If management succeeds in altering the climate and management control processes, what can be expected? If motivation is aroused and if achievement successes begin to reinforce this arousal, a new spirit of dynamic growth can be fostered. With growth will come new challenges and new risks. But the high achiever can be a selfish soul. Once he tastes success, his appetite is nearly insatiable. Unless the firm can continue to present him with challenges and responsibility, he may seek them elsewhere.

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In vain the sage, with retrospective eye,
Would from the apparent conclude the why,
Infer the motive from the deed, and show
That what we chanced was what we meant to do.

—ALEXANDER POPE, *Moral Essays*

That Urge to Achieve

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by David C. McClelland

Some people have an intense desire to achieve while others, the majority, do not seem to care that much. Psychologists, who have been studying this difference for nearly twenty years, are now getting significant answers to the puzzle. In fact, they have found a distinct achievement motive that can be isolated—and stimulated. The author, who describes these findings, is Professor of Psychology and Chairman of the Department of Social Relations at Harvard.

Most people in this world, psychologically, can be divided into two broad groups. There is that minority which is challenged by opportunity and willing to work hard to achieve something, and the majority which really does not care all that much.

For nearly twenty years now, psychologists have tried to penetrate the mystery of this curious dichotomy. Is the need to achieve (or the absence of it) an accident, is it hereditary, or is it the result of environment? Is it a single, isolatable human motive, or a combination of motives—the desire to accumulate wealth, power, fame? Most important of all, is there some technique that could give this will to achieve to people, even whole societies, who do not now have it?

While we do not yet have complete answers for any of these questions, years of work have given us partial answers to most of them and insights into all of them. There is a distinct human motive, distinguishable from others. It can be found, in fact tested for, in any group.

Let me give you one example. Several years ago, a careful study was made of 450 workers who had been thrown out of work by a plant shutdown in Erie, Pennsylvania. Most of the unemployed workers stayed home for a while and then checked back with the United States Employment Service to see if their old jobs or similar ones were available. But a small minority among them behaved differently: the day they were laid off, they started job-hunting.

They checked both the United States and the Pennsylvania Employment Office; they studied the "Help Wanted" sections of the papers; they checked through their union, their church, and various fraternal organizations; they looked into training courses to learn a new skill; they even left town to look for work, while the majority when questioned said they would not under any circumstances move away from Erie to obtain a job. Obviously the members of that active minority were differently motivated. All the men were more or less in the same situation objectively: they needed work, money, food, shelter, job security. Yet only a minority showed initiative and enterprise in finding what they needed. Why? Psychologists, after years of research, now believe they can answer that question. They have demonstrated that these men possessed in greater degree a specific type of human motivation. For the moment let us refer to this personality characteristic as "Motive A" and review some of the other characteristics of the men who have more of the motive than other men.

Suppose they are confronted by a work situation in which they can set their own goals as to how difficult a task they will undertake. In the psychological laboratory, such a situation is very simply created by asking them to throw rings over a peg from any distance they may choose. Most men throw more or less randomly, standing now close, now far away, but those with Motive A seem to calculate carefully where they are most likely to get a sense of mastery. They stand nearly always at moderate distances, not so close as to make the task ridiculously easy, nor so far away as to make it impossible. They set moderately difficult, but potentially achievable goals for themselves, where they objectively have only about a 1-in-3 chance of succeeding. In other words, they are always setting challenges for themselves, tasks to make them stretch themselves a little.

But they behave like this only if *they* can influence the outcome by performing the work themselves. They prefer not to gamble at all. Say they are given a choice

Professor McClelland conducts a motivation seminar at Harvard. By intensifying the achievement motivation, McClelland says, we could help underdeveloped countries move faster economically.

between rolling dice with one in three chances of winning and working on a problem with a one-in-three chance of solving in the time allotted, they choose to work on the problem even though rolling the dice is obviously less work and the odds of winning are the same. They prefer to work at a problem rather than leave the outcome to chance or to others.

Obviously they are concerned with personal achievement rather than with the rewards of success *per se*, since they stand just as much chance of getting those rewards by throwing the dice. This leads to another characteristic the Motive A men show—namely, a strong preference for work situations in which they get concrete feedback on how well they are doing, as one does, say in playing golf, or in being a salesman, but as one does not in teaching, or in personnel counseling. A golfer always knows his score and can compare how well he is doing with par or with his own performance yesterday or last week. A teacher has no such concrete feedback on how well he is doing in "getting across" to his students.

The *n* Ach Men

But why do certain men behave like this? At one level the reply is simple: because they habitually spend their time thinking about doing things better. In fact, psychologists typically measure the strength of Motive A by taking samples of a man's spontaneous thoughts (such as making up a story about a picture they have been shown) and counting the frequency with which he mentions doing things better. The count is objective and can even be made these days with the help of a computer program for content analysis. It yields what is referred to technically as an individual's *n* Ach score (for "need for Achievement"). It is not difficult to understand why people who think constantly about "doing better" are more apt to do better at job-hunting, to set moderate, achievable goals for themselves, to dislike gambling (because they get no achievement satisfaction from success), and to prefer work situations where they can tell easily whether they are improving or not. But why some people and not others come to think this way is another question. The evidence suggests it is not because they are born that way, but because of special training they get in the home from parents who set moderately high achievement goals but who are warm, encouraging and nonauthoritarian in helping their children reach these goals.

Such detailed knowledge about one motive helps correct a lot of common sense ideas about human motivation. For example, much public policy (and much business policy) is based on the simpleminded notion that people will work harder "if they have to." As a first approximation, the idea isn't totally wrong, but it is only a half-truth. The majority of unemployed workers in Erie "had to" find work as much as those with higher *n* Ach, but they certainly didn't work as hard at it. Or again, it is frequently assumed that *any* strong motive will lead to doing things better. Wouldn't it be fair to say that most of the Erie workers were just "unmotivated"? But our detailed knowledge of various human motives shows that each one leads a person to behave in *different* ways. The contrast is not between being "motivated" or "unmotivated" but between being motivated toward A or toward B or C, etc.

A simple experiment makes the point nicely: subjects were told that they could choose as a working partner either a close friend or a stranger who was known to be an expert on the problem to be solved. Those with higher *n* Ach (more "need to achieve") chose the experts over their friends, whereas those with more *n* Aff (the "need to affiliate with others") chose friends over experts. The latter were not "unmotivated"; their desire to be with someone they liked was simply a stronger motive than their desire to excel at the task. Other such needs have been studied by psychologists. For instance, the need for Power is often confused with the need for Achievement because both may lead to "outstanding" activities. There is a distinct difference. People with a strong need for Power want to command attention, get recognition, and control others. They are more active in political life and tend to busy themselves primarily with controlling the channels of communication both up to the top and down to the people so that they are more "in charge." Those with high *n* Power are not as concerned with improving their work performance daily as those with high *n* Ach.

It follows, from what we have been able to learn, that not all "great achievers" score high in *n* Ach. Many generals, outstanding politicians, great research scientists do not, for instance, because their work requires other personality characteristics, other motives. A general or a politician must be more concerned with power relationships, a research scientist must be able to go for long periods without the immediate feedback the person with high *n* Ach requires, etc. On the other hand, business executives, particularly if they are in positions of real responsibility or if they are salesmen, tend to score high in *n* Ach. This is true even in a Communist country like Poland: apparently there, as well as in a private enterprise economy, a manager succeeds if he is concerned about improving all the time, setting moderate goals, keeping track of his or the company's performance, etc.

Motivation and Half-truths

Since careful study has shown that common sense notions about motivation are at best half-truths, it also follows that you cannot trust what people tell you about their motives. After all, they often get their ideas about their own motives from common sense. Thus a general may say he is interested in achievement (because he has obviously achieved), or a businessman that he is interested only in making money (because he has made money), or one of the majority of unemployed in Erie that he desperately wants a job (because he knows he needs one); but a careful check of what each one thinks about and how he spends his time may show that each is concerned about quite different things. It requires special measurement techniques to identify the presense of *n* Ach and other such motives. Thus what people say and believe is not very closely related to these "hidden" motives which seem to affect a person's "style of life" more than his political, religious or social attitudes. Thus *n* Ach produces enterprising men among labor leaders or managers, Republicans or Democrats, Catholics or Protestants, capitalists or Communists.

Wherever people begin to think often in *n* Ach terms, things begin to move. Men with higher *n* Ach get more raises and are promoted more rapidly, because they keep actively seeking ways to do a better job. Companies with many such men grow faster. In one comparison of two firms in Mexico, it was discovered that all but one of the top executives of a fast growing firm had higher *n* Ach scores than the highest scoring executive in an equally large but slow-growing firm. Countries with many such rapidly growing firms tend to show above-average rates of economic growth. This appears to be the reason why correlations have regularly been found between the *n* Ach content in popular literature (such as popular songs or stories in children's textbooks) and subsequent rates of national economic growth. A nation which is thinking about doing better all the time (as shown in its popular literature) actually does do better economically speaking. Careful quantitative studies have shown this to be true in Ancient Greece, in Spain in the Middle Ages, in England from 1400–1800, as well as among contemporary nations, whether capitalist or Communist, developed or underdeveloped.

Contrast these two stories for example. Which one contains more *n* Ach? Which one reflects a state of mind which ought to lead to harder striving to improve the way things are?

Excerpt from story A (4th grade reader): "Don't Ever Owe a Man—The world is an illusion. Wife, children, horses and cows are all just ties of fate. They are ephemeral. Each after fulfilling his part in life disappears. So we should not clamour after riches which are not permanent. As long as we live it is wise not to have any attachments and just think of God. We have to spend our lives without trouble, for is it not time that there is an end to grievances? So it is better to live knowing the real state of affairs. Don't get entangled in the meshes of family life."

Excerpt from story B (4th grade reader): "How I Do Like to Learn—I was sent to an accelerated technical high school. I was so happy I cried. Learning is not very easy. In the beginning I couldn't understand what the teacher taught us. I always got a red cross mark on my papers. The boy sitting next to me was very enthusiastic and also an outstanding student. When he found I couldn't do the problems he offered to show me how he had done them. I could not copy his work. I must learn through my own reasoning. I gave his paper back and explained I had to do it myself. Sometimes I worked on a problem until midnight. If I couldn't finish, I started early in the morning. The red cross marks on my work were getting less common. I conquered my difficulties. My marks rose. I graduated and went on to college."

Most readers would agree, without any special knowledge of the *n* Ach coding system, that the second story shows more concern with improvement than the first, which comes from a contemporary reader used in Indian public schools. In fact the latter has a certain Horatio Alger quality that is reminiscent of our own McGuffey readers of several generations ago. It appears today in the textbooks of Communist China. It should not, therefore, come as a surprise if a nation like Communist China, obsessed as it is with improvement, tended in the long run to outproduce a nation like India, which appears to be more fatalistic.

The *n* Ach level is obviously important for statesmen to watch and in many instances to try to do something about, particularly if a nation's economy is lagging. Take Britain, for example. A generation ago (around 1925) it ranked fifth among 25 countries where children's readers were scored for *n* Ach—and its economy was doing well. By 1950 the *n* Ach level had dropped to 27th out of 39 countries—well below the world average—and today, its leaders are feeling the severe economic effects of this loss in the spirit of enterprise.

Economics and *n* Ach

If psychologists can detect *n* Ach levels in individuals or nations, particularly before their effects are widespread, can't the knowledge somehow be put to use to foster economic development? Obviously detection or diagnosis is not enough. What good is it to tell Britain (or India for that matter) that it needs more *n* Ach, a greater spirit of enterprise? In most such cases, informed observers of the local scene know very well that such a need exists, though they may be slower to discover it than the psychologist hovering over *n* Ach scores. What is needed is some method of developing *n* Ach in individuals or nations.

Since about 1960, psychologists in my research group at Harvard have been experimenting with techniques designed to accomplish this goal, chiefly among business executives whose work requires the action characteristics of people with high *n* Ach. Initially, we had real doubts as to whether we could succeed, partly because like most American psychologists we had been strongly influenced by the psychoanalytic view that basic motives are laid down in childhood and cannot really be changed later, and partly because many studies of intensive psychotherapy and counseling have shown minor if any long-term personality effects. On the other hand we were encouraged by the nonprofessionals: those enthusiasts like Dale Carnegie, the Communist ideologue or the Church missionary, who felt they could change adults and in fact seemed to be doing so. At any rate we ran some brief (7 to 10 days) "total push" training courses for businessmen, designed to increase their *n* Ach.

Four Main Goals

In broad outline the courses had four main goals: (1) They were designed to teach the participants how to think, talk and act like a person with high *n* Ach, based on our knowledge of such people gained through 17 years of research. For instance, men learned how to make up stories that would code high in *n* Ach (i.e., how to think in *n* Ach terms), how to set moderate goals for themselves in the ring toss game (and in life). (2) The courses stimulated the participants to set higher but carefully planned and realistic work goals for themselves over the next two years. Then we checked back with them every six months to see how well they were doing in terms of their own objectives. (3) The courses also utilized techniques for giving the participants knowledge about themselves. For instance, in playing the ring toss game, they could observe that they behaved differently from others—perhaps in refusing to adjust a goal downward after failure. This would then become a matter for group discussion and the man would have to explain what he had in mind in setting such unrealistic goals. Discussion could then lead on to what a man's ultimate goals in life were, how much he cared about actually improving performance v. making a good impression or having many friends. In this way the participants would be freer to realize their achievement goals without being blocked by old habits and attitudes. (4) The courses also usually created a group *esprit de corps* from learning about each other's hopes and fears, successes and failures, and from going through an emotional experience together, away from everyday life, in a retreat setting. This membership in a new group helps a man achieve his goals, partly because he knows he has their sympathy and support and partly because he knows they will be watching to see how well he does. The same effect has been noted in other therapy groups like Alcoholics Anonymous. We are not sure which of these course "inputs" is really absolutely essential—that remains a research question—but we were taking no chances at the outset in view of the general pessimism about such efforts, and we wanted to include any and all techniques that were thought to change people.

The courses have been given: to executives in a large American firm, and in several Mexican firms; to underachieving high school boys; and to businessmen in India from Bombay and from a small city—Kakinada in the state of Andhra Pradesh. In every instance save one (the Mexican case), it was possible to demonstrate statistically, some two years later, that the men who took the course had done better (made more money, got promoted faster, expanded their businesses faster) than comparable men who did not take the course or who took some other management course.

Consider the Kakinada results, for example. In the two years preceding the course 9 men, 18 percent of the 52 participants, had shown "unusual" enterprise in their businesses. In the 18 months following the course 25 of the men, in other words nearly 50 percent, were unusually active. And this was not due to a general upturn of business in India. Data from a control city, some forty-five miles away, show the same base rate of "unusually active" men as in Kakinada before the course—namely, about 20 percent. Something clearly happened in Kakinada: the owner of a small radio shop started a chemical plant; a banker was so successful in making commercial loans in an enterprising way that he was promoted to a much larger branch of his bank in Calcutta; the local political leader accomplished his goal (it was set in the course) to get the federal government to deepen the harbor and make it into an all-weather port; plans are far along for establishing a steel rolling mill, etc. All this took place without any substantial capital input from the outside. In fact, the only costs were for four 10-day courses plus some brief follow-up visits every six months. The men are raising their own capital and using their own resources for getting business and industry moving in a city that had been considered stagnant and unenterprising.

The promise of such a method of developing achievement motivation seems very great. It has obvious applications in helping underdeveloped countries, or "pockets of poverty" in the United States, to move faster economically. It has great potential for businesses that need to "turn around" and take a more enterprising approach toward their growth and development. It may even be helpful in developing more *n* Ach among low-income groups. For instance, data show that lower-class Negro Americans have a very low level of *n* Ach. This is not surprising. Society has systematically discouraged and blocked their achievement striving. But as the barriers to upward mobility are broken down, it will be necessary to help stimulate the motivation that will lead them to take advantage of new opportunities opening up.

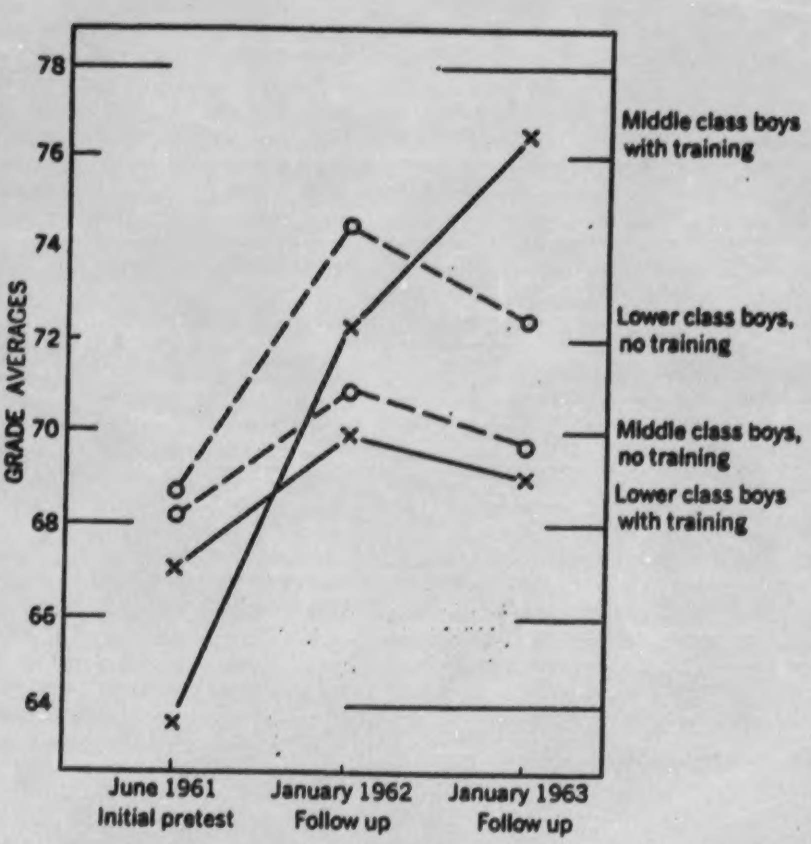
Extreme Reactions

But a word of caution: Whenever I speak of this research and its great potential, audience reaction tends to go to opposite extremes. Either people remain skeptical and argue that motives can't really be changed, that all we are doing is dressing Dale Carnegie up in fancy "psychologese," or they become converts and want instant course descriptions by return mail to solve their local motivational problems. Either response is unjustified. What I have described here in a few pages has taken 20 years of patient research effort, and hundreds of thousands of dollars in basic research costs. What remains to be done will involve even larger sums and more time for development to turn a promising idea into something of wide practical utility.

Encouragement Needed

To take only one example, we have not yet learned how to develop *n* Ach really well among low-income groups. In our first effort—a summer course for bright underachieving 14-year-olds—we found that boys from the middle class improved steadily in grades in school over a two-year period, but boys from the lower class showed an improvement after the first year followed by a drop back to their beginning low grade average. (See chart at right.) Why? We speculated that it was because they moved back into an environment in which neither parents nor friends encouraged achievement or upward mobility. In other words, it isn't enough to change a man's motivation if the environment in which he lives doesn't support at least to some degree his new efforts. Negroes striving to rise out of the ghetto frequently confront this problem: they are often faced by skepticism at home and suspicion on the job, so that even if their *n* Ach is raised, it can be lowered again by the heavy odds against their success. We must learn not only to raise *n* Ach but also to find methods of instructing people in how to manage it, to create a favorable environment in which it can flourish.

Many of these training techniques are now only in the pilot testing stage. It will take time and money to perfect them, but society should be willing to invest heavily in them in view of their tremendous potential for contributing to human betterment. ■



In a Harvard study, a group of underachieving 14-year-olds was given a six-week course designed to help them do better in school. Some of the boys were also given training in achievement motivation, or n *Ach (solid lines). As graph reveals, the only boys who continued to improve after a two-year period were the middle-class boys with the special* n *Ach training. Psychologists suspect the lower-class boys dropped back, even with* n *Ach training, because they returned to an environment in which neither parents nor friends encouraged achievement.*

Motivation: A Vital Force in the Organization

Module III:

Integrating Individual and Organizational Goals

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OBJECTIVES FOR MODULE III

The purpose of this module is to clarify and develop some of the approaches and techniques suggested in earlier modules as means for (1) improving the compatibility between the goals of the individuals and the organizational goals and (2) improving the motivational climate within your organization.

Specifically, after completing this module, and the readings, you should be able to:

- Identify the potential conflict between individual needs and organizational goals and relate them to your own organization
- Discuss the various approaches to participative management and their applicability to your library or information center
- Discuss the potential advantages of participative management as a means for improving the motivational climate in your organization
- Discuss the concept of Management by Objectives (MBO)
- Identify the key ingredients in a system of Management by Objectives
- Relate the applicability of Management by Objectives to your library or information center
- Explain the concept of job enrichment and illustrate it with examples in your own work situation
- Discuss the potential advantages of job enrichment as a means for improving the motivational climate in your organization.

TOPIC I: THE PROBLEM OF INTEGRATION

In Modules I and II various theories were presented which suggest that individuals have needs which they seek to satisfy in the organizations to which they belong, including the organizations in which they work. The actions and behaviors of individuals are usually goal-oriented and directed toward satisfying these needs as far as possible. Organizations also have goals; they exist for a purpose. Deriving from these two simple facts are the following questions which have challenged managers and management scholars for years:

- *Are* individual goals and organizational goals compatible?
- *To what extent* can they be made compatible?
- *How* can they be made compatible?

Stated another way, the question becomes one of *integrating* the goals of the individual with those of the organization.

Most organizations have developed a formal organizational structure to provide a logical framework within which individuals can contribute to the organizational goals. While this structure is generally accepted as necessary, it can also produce barriers to this integration process. This was illustrated in Case Study I-1 (p. I-13), where Mr. Bell took issue with one element of the library's formal structure, namely, its personnel policy with respect to sick leave. This was interferring with Mr. Bell's goal of making a sufficient salary on which to live, and, potentially detracting from Mr. Bell's contribution to the library's organizational goals. This particular personnel policy is only illustrative of many other elements of the formal structure which can frustrate or interfere with the individual's attempts to achieve his or her goals within the work organization. Other examples might include inequitable personnel classification schemes and salary distribution, restrictive supervision, or unchallenging jobs, to mention but a few. In short, the formal structure may be necessary, but it cannot begin to resolve the problem of integrating organizational goals and individual goals. In fact, it frequently compounds this integration problem.

One of the more influential management scholars to deal with this potential organizational conflict was Chris Argyris who posed the question: "How is it possible to create an organization in which the individual may obtain optimum expression and, simultaneously, in which the organization itself may obtain satisfaction of its demands?"[1]

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[1] Chris Argyris. "The Individual and the Organization: Some Problems of Mutual Adjustment," *Administrative Science Quarterly*, volume 2, June 1957, p. 24.

BEFORE PROCEEDING WITH THIS TOPIC, WE SUGGEST THAT YOU STUDY THE FOLLOWING READING:

Reading III-1.

Argyris, Chris.
"The Individual and the Organization: Some Problems of Mutual Adjustment." *Administrative Science Quarterly*, 2:1-24, June 1957.

This is an excellent synthesis of the author's concern with interface between the individual and the formal organizational structure. Study carefully the properties he ascribes to the human personality and to the formal structures and the problem of "lack of congruency between the needs of healthy individuals and the demands of the formal organization."

In the final paragraph of Reading III-1, Argyris suggests that the basic problem for the employee in the work place is the degree of dependency, subordination, and submissiveness which he or she experiences. Most of us can apply these adjectives to at least some of the working experiences we have had. As possible resolutions for these conflicts which can alienate the individual from the organization, he suggests job enlargement and participatory styles of management. These are two of the many prescriptions suggested by others in Module II. In this module, we will examine some of these solutions in more detail. Namely, we will look at participative management, Management by Objectives (MBO), and job enrichment. Each of these approaches offers possibilities for the accomodation of individual goals and organizational goals, in libraries, as well as other organizational settings.

TOPIC II: PARTICIPATIVE MANAGEMENT

The virtues of participative or democratic management have been widely discussed and researched in recent years. Some of the authors studied in Module II have contributed to the theoretical foundation and rationale for such an approach to management. This will be further reinforced by the research findings of others, including that of Rensis Likert, which we will study in Module V. Many critics, however, remain cynical toward participative management, dismissing it as inefficient and/or impractical. To many practicing managers, the concept is synonymous with abdication of authority. Some of this hostility is based upon misconceptions about participative management. Certainly the prolific and sometimes contradictory and simplistic literature on the subject has contributed to the confusion and skepticism of many library managers. Participative management has also drawn considerable attention in the literature relating to the management of libraries and information centers where it has mustered its share of supporters and detracters. An indication of the diversity of opinion and interpretation of participative management is reflected in a *Library Journal* article in which seven library leaders were asked to discuss the future of participative management. It was concluded:

> The range of responses seems to be a clear indication that an examination of our assumptions and attitudes about participatory management is in order. . . . [It is] an issue that evokes strong feelings, and one for which the lines of professional debate are still unclear.[3]

To a certain extent, the widespread antipathy toward participative management derives from misconceptions as to just what it *is* and what it *is not*. In its best connotation, participative management does not, or need not, entail any of the following:

- total abdication of managerial authority to the staff
- a majority vote by the entire staff on every issue confronting the organization or on every decision before it is made within the organization
- everyone getting involved in everything
- the total breakdown of the formal lines of authority within the organization.

As outlandish as these interpretations may sound to the serious advocates of participative management, they do reflect some of the misconceptions often stated by skeptics and critics including some well intentioned managers who have tried to implement a more democratic approach to management. Conversely, they sometimes reflect the perceptions of zealous, but ill informed supporters of participative management.

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[3] Karl E. Nyren. "Participatory Management in Libraries: What Is Its Future?" *Library Journal*, volume 101, May 1976, p. 1186.

BEFORE PROCEEDING WITH THIS TOPIC, WE SUGGEST THAT YOU STUDY THE FOLLOWING READINGS:

Reading III-2.

Preshing, William A.
"Participative Management Motivates," *Journal of Systems Management*, 23:28-31, March 1972.

This is a simple introduction to the concept of participative management, relating it to the motivation process and some of the theories presented in Module II. (Rensis Likert's research on the topic will be examined in Module V.) Particularly useful is his brief analysis of the practical problems inherent in its application.

Reading III-3.

Marchant, Maurice P.
"Participative Management in Libraries" from *New Directions in Staff Development: Moving from Ideas to Action*, edited by Elizabeth W. Stone. Chicago: ALA, 1971, pp. 28-38.

A library advocate of participative management, Marchant stresses the decision making process as the key element, relates it to the findings of his own research on library management, and indicates the implications for staff development.

The readings which you have just completed should provide you with an overview of the general concept of participative management. It clearly prescribes greater staff involvement in the decision making process *at all levels* in the organization. As Marchant suggests in Reading III-3, a participative approach forces decision making down to the level where the relevant information is most readily available and the effects of the decision on operational matters will be most keenly felt. An important element in a successful participative approach is the establishment of workable methods and models which permit this involvement to proceed in an orderly fashion. There are at least three models which might be implemented for facilitating participation, each of which is discrete, but not mutually exclusive:

- The Supervisor/Subordinate Model
- The Working Unit/Team Approach
- The Committee Approach

The Supervisor/Subordinate Model

Participation can be fostered by a supervisor with his or her subordinate(s) on a one-to-one basis. This model requires the supervisor to allow the subordinate greater latitude in making decisions. The question becomes one of degree of latitude and requires a mutual understanding between the two as to the degree of latitude. The arrangement may be for the subordinate to make certain decisions categorically or it may be for the subordinate to make certain decisions, but clear them with the supervisor before implementing them. Obviously, many variations in such an arrangement are possible. A partial continuum of some of the variations is reflected in the following five directives of hypothetical supervisors:

- Give me an explanation of the problem, and I will make the decision.
- Give me an explanation of the problem, all the alternative solutions you can think of, and I will make the decision.
- Give me an explanation of the problem, all the alternative solutions you can think of, your recommended solution, and implement it unless you hear differently from me.
- Resolve your own problems, but keep me informed periodically.
- Resolve your own problems, and don't trouble me with them.

The degree of latitude given to the subordinate is going to be dependent on many factors including:

- the extent of agreement between the two on the criteria for making the decisions
- the availability of and access to the information needed to make the decision intelligently
- the ability and level of training of the subordinate
- the degree of confidence in the subordinate held by the supervisor
- the ability and personality of the supervisor.

The above model might be illustrated with the relationship between the acquisitions librarian and the head librarian in dealing with the decision to order specific material for the library. The arrangement might be that the acquisitions librarian has been delegated total authority for deciding which materials are to be ordered, with some means of reporting to the head librarian on a regular basis. A more controlled arrangement between the aforementioned personnel might allow the acquisitions librarian to make such decisions, but have them approved by the head librarian before actually ordering. Obviously, there would be many possible subtle variations of this arrangement.

SELF TEST III-1

At this point, locate Self Test III-1 on page III-35, and work through it. When completed to your satisfaction, compare your answers and thoughts to the Analysis which follows.

SELF TEST III-1: ANALYSIS

Before are some examples of the kind of considerations which would dictate the decision making arrangement between the head librarian and the acquisitions librarian. Compare your own responses to these. You may well have come up with other considerations and, depending upon your approach to individual considerations, you may have categorized them under different general factors.

1. The extent of agreement between the two on the criteria for making such decisions:
   - Is there a written book selection policy which provides guidelines and criteria for making such decisions?
   - Is there mutual agreement between the two parties on the validity of these guidelines and criteria?
   - To what extent are the decisions made by third parties (e.g., the library's clientele)?

2. Availability of and access to the information needed in making such decisions:
   - Are budget constraints clearly understood by both parties?
   - Is there an effective accounting system which provides the parties with information regarding the state of accounts?
   - Are the needs of the users clearly understood and articulated?

3. Ability and level of training of the acquisitions librarian:
   - How long has he or she been in the position and what comparable experience and expertise does he or she bring to the position?
   - Does he or she have a broad perspective of the resource needs of the clientele?
   - Does he or she have good insight into the strengths and weaknesses of existing resources?

4. The ability and personality of the head librarian:
   - Does he or she make Theory X or Theory Y assumptions about others in the work place?
   - How secure is he or she about his or her own position?
   - Is he or she concerned or overly concerned with occasional mistakes made by subordinates?
   - Is he or she willing to let go of technical skills in order to concentrate on broader issues?

5. Degree of mutual confidence and trust between the acquisitions librarian and the head librarian:
   - Has the acquisitions librarian generally demonstrated good judgement in such decisions?
   - Does the acquisitions librarian deal tactfully with third parties (e.g., the clientele) concerned in such decisions?
   - Can the head librarian trust the acquisitions librarian with access to all the budgetary information necessary or available in making such decisions?
   - Is the head librarian quick to blame subordinates for mistakes?
   - Can the acquisitions librarian count on the head librarian to generally support him or her in the decisions made?

Self Test III-1 was included to illustrate the complexity of even a one-to-one approach to participation between a supervisor and a subordinate. Any arrangement for delegating decision making involves many factors and considerations, and requires accomodation between the parties involved over a period of time. Delegation of authority is not easily implemented, but must be fostered between the parties involved to avoid recurring conflicts and misunderstandings.

THE WORK GROUP/TEAM MODEL

Because of the interrelationship of activities performed within an organizational unit, a one-to-one approach to participation between supervisor and subordinate may not always be the most suitable approach. Another approach which has been widely used is a *group approach*, concentrating on the existing work groups within the organization. The supervisors or managers of a given work group establish a mechanism through which regularized input into decision making is fostered among the members of the work group. Through group discussions and staff meeting, individuals are encouraged to suggest means in which the operations and activities of the unit can be improved. Problem solving is encouraged within the work group.

BEFORE PROCEEDING WITH THIS TOPIC, WE SUGGEST THAT YOU STUDY THE FOLLOWING READING:

Reading III-4.

Roche, William J. and Neil L. MacKinnon.

"Motivating People with Meaningful Work." *Harvard Business Review*, 48:97-110, May/June, 1970.

Presented in this article is a case study on the attempt of one company to involve its members in decision making. The method emphasized is team building between work groups in the organization.

The participative model introduced in this reading stresses the work group as a *team* directed at solving common problems and deciding on factors that affect their respective operations. The "heart of the program" was described as "a continuous cycle of meetings run by a group of workers." Although the example is from the private sector, many of the techniques introduced here can be effectively introduced into any work unit. For example:

- group goal setting
- group involvement in identifying problems
- group problem solving at the operational level.

You might choose to stop here and reflect: in order to relate such an approach to your own work situation.

Such an approach usually requires a significant adjustment for both subordinates and supervisors. It is neither simple, nor always accepted enthusiastically by all parties concerned. However, it does offer a model for participation which still adheres to the hierarchical structure.

THE COMMITTEE APPROACH

Another approach for facilitating participation is through the use of committees, or a committee structure. Some examples of this in libraries and information centers include the "orbital organization" at the Terre Haute, Indiana, Public Library,[3] the Library Administrative Network at the UCLA Libraries, and the academic governance model being introduced in many college and university libraries.[4] Among others, Susan Tarr[5] and Jane Flener[6] have addressed the utilization of committees as devices for staff participation in libraries and information centers.

Whether used systematically or on an ad hoc basis, committees have traditionally been widely utilized as a mechanism for fostering broader staff involvement in the decision making process in all types of organizations. Probably because of their frequent ineffectiveness, committees have also been the target of many barbs in management literature. They have been referred to as:

- a group of people, each unable to make decisions, getting together to decide that nothing can be done
- a device for spreading the blame for mistakes
- an anonymous shield for weak managers to hide behind, on the theory that, "they can't fire all of us"

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[3] Edward Howard. "The Orbital Organization," *Library Journal*, 95:1712-1715, May 1, 1970.

[4] Edward G. Holley. "Organizational Administration of Urban University Libraries," *College and Research Libraries*, 33:175-189, May 1972.

[5] Susan A. Tarr. "Effective Group Process for Libraries: A Focus on Committees," *College and Research Libraries*, 35:444-452, November 1975.

[6] Jane G. Flener. "Staff Participation in the Management of Large University Libraries," *College and Research Libraries*, 34:275-279, July 1973.

to mention but a few disparaging examples. Certainly a fair share of this cynicism has been earned by hours of inept deliberations and wasted staff time in many organizations. One astute observer has concluded, probably accurately, that there is "little inherent weakness in the use of committees," but rather the problem is one of poor management, "or, more probably, of management deceived by the apparent simplicity of using committees."[7] Likert expressed the following similar view:

> The surprising thing about committees is not that many or most are ineffective, but that they accomplish as much as they *do* when, relatively speaking, we know so little about how to use them. There has been a lack of systematic study of ways to make committees effective.[8]

Committees have, indeed, been badly misused as a participative device. Some of the more frequent problems in committee management are discussed below:

Lack of clearly defined purpose(s) and/or authority. Committees should have clearly agreed upon charges whether they are temporary bodies formed to investigate a specific problem or permanent groups chartered to coordinate the interrelated activities of work groups. Their authority should be clearly defined as consultatory, advisory, or decision making.

Inappropriate composition and size. The composition and size of a committee should be based upon its charge and authority. For example, problem solving groups should be relatively small (5-7 members). Likewise, representation should reflect the scope of the problem at hand. A committee dealing with the revision of general personnel policy, for example, should include representation from various levels of employees within the organization.

Inadequate preparation of members. Frequently members of committees are poorly prepared for participation in group deliberations. This may be because no one has ever consulted them before; it may be because they are intimidated by other members of the group; or, it may be a lack of understanding of the matters being deliberated. For whatever reasons, the best solution for inadequate preparation is encouragement, guidance, and patience.

Inproper advanced planning and preparation. The most common example of this problem is the failure to distribute an agenda in advance of the meeting. Another might be the failure of the leader to keep the deliberations on course.

Lack of follow through and failure to establish deadlines. Where necessary, assignments should be made to appropriate members. Target dates should be established based upon the assignments of the committee.

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[7] E.A. Chiles. "Use and Limitations of Committees," in *Handbook of Business Administration*, edited by Harold B. Maynard. New York: McGraw-Hill, 1967, p. II. 89.

[8] Rensis Likert. *New Patterns of Management.* New York: McGraw-Hill, 1961, p. 163.

Inadequate information to consummate the assignment. When committees are given a problem to solve, like individuals, they need all the information available which might bear on the subject(s) or problem(s) being considered.

There are many advantages frequently cited in support of using committees for problem solving in an organization. Among these are: better decisions, improved communication and coordination, improved motivational climate, opportunities for staff development.

Better decisions. Proponents of group deliberations frequently cite the quality of decisions derived. This is supported by some research on small groups conducted in laboratory situations; however, the evidence is less conclusive in actual operating situations.[9] They also cite the broader perspective brought to bear on the problem by several individuals.

Improved coordination and communication. Depending upon the extent of involvement in committees, new channels of organizational communication are opened which ultimately should contribute to better coordination and intergration.

Improved motivational climate. When properly utilized, committee assignments add new dimensions to the individual's role in the organization, and also offer one means for broadening the regular work assignments of the individual.

Opportunities for staff development. Committee assignments can be a useful vehicle for preparing individuals to assume greater responsibility within the organization, and can also provide valuable learning experiences for the staff—e.g., experiencing the processes involved in group decision making, or simply understanding the library, in which one works, better.

The above approaches for fostering participation, namely, delegation of decision making, team building, and committees, are not mutually exclusive, but should be used selectively and discretely. For example, the revision of a routine operational procedure might best be delegated to an individual, if only his or her job is affected. On the other hand, a broader policy issue may necessitate input from the total work unit, or a representative committee of that work group.

The readings and discussions on participative management thus far have already suggested areas for participation within libraries and information centers. A selective list of possibilities might be useful to review at this point.

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[9] A.C. Filley, "Committee Management: Guidelines from Social Science Research," *California Management Review*, 13:13-21, Fall 1970.

FORMULATION OF GOALS AND OBJECTIVES

In order for a library or information center to function optimally, there should be clear definition of its role vis a vis its environment and users. This process of goal setting will be developed in detail in our discussion of Management by Objectives (MBO) later in this module. Suffice it to say that the establishment of organizational direction, and ultimately, individual direction, almost always necessitates staff participation. Issues that affect the entire organization's behavior in terms of priorities and standards are a vital area for staff deliberation and participation.

FORMULATION OF POLICY

Policies are statements which provide us with guidelines for action and decision making. An acquisition policy guides us in our decisions as to what we will purchase for the collection. A service policy tells us *who* we will serve, and *how* we will serve them given the constraints of our situation. As suggested in the readings, advocates of participative management contend that members of an organization perform more effectively and responsively to the goals of the organization, *if they have participated in the decision making process that establishes the guidelines and direction of that organization.* Perhaps a few examples will illustrate the basis for this point of view. A reference unit in an academic library may assume the philosophical viewpoint that its role is to educate the student, faculty member, and other users to become independent consumers of the library's resources. An alternative approach to reference service would be to provide individualized and specific bibliographic and information services based upon the identified needs of the users. Between these two polarized philosophies are various alternatives and modifications reflecting elements from both philosophies. User demands and expectations, and existing resources (staff, collections, etc.) should, realistically, dictate the philosophy of such a reference unit. The extent to which the members of this unit agree on an appropriate and realistic philosophy for the unit would tend to influence the effectiveness of this unit. Otherwise, members committed to either philosophy might be alienated in an operational unit where one of the philosophies serves as an operational guideline or directive. This alienation is likely to be less destructive if the member has shared in the deliberations that determine the philosophy.

PROCEDURES AND METHODS

Many operational level questions such as the formulation and review of procedures lend themselves well to participation by parties and individuals involved in performing them. The article by MacKinnon and Roche (Reading III-4) illustrates this involvement in a business setting, but with a little imagination, similar approaches and parallels for libraries and information centers may be drawn.

The formulation of the above types of plans are excellent examples of logical areas for participation because the products directly affect the activities, directions, and behavior of *all* personnel. Therefore, involvement in their formulation provides for greater uniformity and understanding of the library or information center. However, participation also has become common in such areas as performance evaluation of personnel, recruitment and selection of personnel, and in settling intra-organizational disputes, to mention but a few.

In applying a total participative approach in any organization, utilizing some of the models and mechanisms just discussed, there are certain essential ingredients which must come together. These components include the following:

- A genuine commitment to participation on the part of the top management
- A climate of mutual trust among the members of the organization
- Open and formalized communication between vertical levels and across horizontal levels of the organization
- Group decision making on those matters which affect the activities of individual members
- A commitment to high standards of performance on the part of all members of the organization.

To the realist who has probably never experienced these conditions—at least in their totality—in any organization, they may sound naive. Certainly, no one would suggest that they are easily attained in a work setting. They place supervisors and subordinates alike into new roles with new responsibilities and obligations. These conditions run contrary to the organizational experiences of many. If one accepts the findings of McClelland (see Module II, p. II-17–II-21) and others with respect to the differences in intensity of the needs among individuals, any attempt to introduce participation must take these differences into account, making accomodations and readjustments as necessary. In spite of these concerns, it is widely held that the payoff in terms of improved motivational climate and greater employee satisfaction in the work setting justifies the effort. The ultimate payoff of participative management is claimed by some to be in the overall effectiveness of the organization. This will be discussed further in Module V when we examine the research findings of Rensis Likert and others.

TOPIC III: MANAGEMENT BY OBJECTIVES (MBO)

One of the more favorably received systems of management introduced into organizations in recent years is known as Management by Objectives, generally referred to as MBO. Among the many advantages attributed to MBO is the participative aspect of this system which requires mutually agreed upon goal setting between superiors and subordinates. Because the system is dependent upon goal setting *at all* levels: including the total organization, work units, and individual members, it also offers some potential for alleviating conflicts between individual needs and organizational goals discussed in the introduction to this module.

BEFORE PROCEEDING WITH THIS TOPIC, WE SUGGEST THAT YOU STUDY THE FOLLOWING READING:

Reading III-5.

McConkey, Dale D.
"MBO—Twenty Years Later, Where Do We Stand?" *Business Horizons*, 16:25-36, August, 1973.

Introduces the overall concept of MBO as a total management system, its historical evolution, its broad applicability, and its advantages and potential pitfalls.

Essential Elements

A total MBO system applied in an organization *must* include the following elements:

- Clearly defined and stated organizational goals
- Clearly defined and stated goals for *all* work units at *all* levels in the organizational hierarchy
- A hierarchy of objectives translated into specific performance standards at the operational levels in the organization
- Compatibility between and among goals and performance standards throughout the organization
- Provision for periodic review and evaluation of goals and levels of achievement

Organizational Goals and Objectives

There is no standardized nomenclature with regard to goals and objectives. In the literature you will sometimes find these terms used interchangeably, or with differing intent. In this module, we will use the terms goals and objectives as defined below.

A **goal** is an ideal state toward which the organization is moving. It has an implied time horizon, and is specific enough to help one choose between different alternatives. However, it is not so specific that *what* to do becomes *how* to do it.

An **objective** is a clear, precise statement of what must be done to accomplish a stated goal. An objective is explicit and measurable, and its accomplishment is placed in a specific time frame.

Explicitly stated organizational goals and objectives, when carefully formulated, serve many useful purposes:

- They provide the organization with a raison d'etre, a basis for legitimacy.
- They provide an organization and its membership with a sense of direction.
- They provide the basis for all other managerial planning and resultant plans (e.g., budgets, programs, policies, procedures).
- They provide a framework within which rational decisions can be made as required.
- They can serve as standards and norms by which to judge the successes of the organization, its administrative units, and individual participants.
- They define and clarify organizational needs and priorities.
- They clarify the relationship between the organization and its environment.

The extent to which organizational goals and objectives are clearly thought out and formulated, and the degree of commitment to them by *all* members of the organization, will go far toward determining the degree to which they serve the above purposes.

In order to fulfill some of the above purposes, goals and objectives must be explicit. It is not enough to state a library goal as: "To provide excellent library service." Immediately one must ask: What *is* library service? What constitutes "*excellent* library service"? How do you know when you are providing "excellent library service"? Asking and answering such questions about your library or information center are absolutely necessary first steps in implementing a system of MBO. More specific objectives at the operational level, and performance standards for individuals are dependent upon a clear understanding of the organizational goals and the resulting priorities. For example, a reference department would have to have decided on its overall philosophy of reference service before specific objectives and criteria for individual performance can be established.

Another important aspect of organizational goal setting is the need for a hierarchy, or network, of goals and objectives which progress from the very broadly stated purposes of the organization to more explicit and measurable objectives. In formulating a hierarchy or network of goals and objectives for your organization, you would want to decide upon terminology which reflects various levels of specificity and measurability. Examples in the library literature which you may want to refer to are cited under Readings, in the MBO section of the *Selected Materials for Further Study* at the end of this module: see Crum, Young, and the Association of Research Libraries monographs. This progression from goals to objectives should ultimately provide operational units, and all individuals in the organization, with direction as well as a basis for evaluating performance. This is the essence of Management by Objectives.

The participative aspect of Management by Objectives *can* include involvement in establishing goals and performance standards for the entire organization as well as unit operations. It *requires* participative goal setting for individuals in the organization! The supervisor and subordinate must come to agreement upon the following:

- the composite duties of the job
- priorities among these duties
- agreed upon criteria for evaluating each duty
- as far as possible, a quantitative means for measuring each criterion
- an acceptable level of performance based upon the above criteria.

Some of the important points to keep in mind in establishing more specific objectives include the following:

- Objectives should be achievable, yet challenging.
- Objectives should contribute to achieving the library's overall goals.
- Objectives should be measurable quantitatively and/or qualitatively.
- Objectives should be ranked in terms of priorities or importance.

The chart below may help you to understand how the goal setting process might proceed in a typical library circulation operation. We have selected only one activity: checking out library materials, to follow through with in answering the remaining questions on the chart. You may wish to work through the chart by answering the second question with one or more of the remaining activities, and then answering the questions which follow yourself.

Questions	Possible Responses
• What are the activities performed by this work unit?	• Checking out library materials • Discharging returned library materials • Maintaining the stacks • Providing information on the availability of library materials • Searching for missing materials
• Which of these activities is/are the most important? That is, in terms of priorities, how would you rank these activities, and where should the greatest effort be placed?	• Checking out library materials?
• What are the most important criteria for measuring the success of each activity?	• Speed
• How can each of these criteria be measured?	• Length of time that a user has to wait • No long lines at the desk
• What are *acceptable* and *ideal* levels of performance with respect to these criteria?	• Acceptable: maximum 3 minute wait for any user desiring to check out materials • Ideal: no waiting period
• How will you measure each of these criteria?	• By checking the waiting time of patrons on a random basis • Periodically observing the number of users waiting at the desk to check out materials

BEFORE PROCEEDING WITH THIS TOPIC, WE SUGGEST THAT YOU STUDY THE FOLLOWING READING:

Reading III-6.

Stanton, Robert O.
"Applying the Management-by-Objectives Technique in an Industrial Library", *Journal of the American Society for Information Science*, 26: 313-317, November/December 1975.

This article develops and discusses the experiences of one information center in attempting to apply MBO. The advantages and problems they encountered are presented.

This brief introduction to Management by Objectives should suggest its relationship to motivational theory and its potential for improving the motivational climate of the organization. When properly introduced and administered, it offers the following advantages to the individuals in your library with respect to satisfying their needs:

- They have a greater involvement in establishing the directions and priorities of the organization.
- They are better able to relate their own activities to those of the organization.
- They are better able to evaluate and monitor their own activities.
- They are given an opportunity to assess and suggest means and methods for improving their own performance.

In addition to its potential contribution to the motivational climate of the organization, Management by Objectives offers a partial prescription for the problem of integrating individual and organizational goals. It provides a model for groups and individuals to focus on library and information services, and to make a commitment to their improvement. Addressing this problem of integration, Peter Drucker, who first planted the seed for MBO, told a group of university librarians:

> You have the problem of integrating individuals and the institution and of establishing a sense of mission. What can you do about it? First of all, let me say that you cannot totally resolve it. The best that can be achieved is a constructive tension, but you can make it constructive in only one way, and it generally doesn't appeal to most administrators in public-service bureaucracies. It's partly work, but it's also risky. You can do it only by accepting the fact that a professional staff is a partnership or it doesn't function. . . .The first step is to sit down with all members of the professional staff and tell them to think through what the library should hold them accountable for by way of contribution and results over the next eighteen months. You can say this politely, or you can simply say, "It's your job to think through why you should be kept on the payroll." Either way, the employees are forced to think through their contribution to the institutional mission.[10]

BEFORE GOING ON TO THE NEXT TOPIC, YOU MAY WANT TO PAUSE AND REFLECT UPON THE APPLICABILITY OF MBO TO YOUR OWN ORGANIZATIONAL SITUATION.

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[10] Peter F. Drucker. The article based upon his address to the Association of College and Research Libraries on June 30, 1975 appeared in *College and Research Libraries*, titled, "Managing the Public Service Institution," 37: 4-14, January 1976. Quotation is from p. 11.

TOPIC IV: JOB ENRICHMENT

Job enrichment is another approach to improving the motivational climate which has received considerable attention in recent years. As you will recall, Herzberg's research suggested that one of the more important motivational factors was the content of, and intrinsic rewards in, *the job itself.* He subsequently placed considerable emphasis upon the value of job enrichment as a means for improving job satisfaction. Since Herzberg was instrumental in drawing wider attention to this concept, you may find it useful to review his article on job satisfaction again (Reading II-4) before continuing.

BEFORE PROCEEDING WITH THIS TOPIC, WE SUGGEST THAT YOU STUDY THE FOLLOWING READINGS:

Reading III-7.

Budd, J. Mark.
"Employee Motivation through Job Enrichment," *Journal of Systems Management*, 25: 34-38, August 1974.

Budd presents a brief introduction to the concept of job enrichment, and introduces the results of some of the applied research which has been done on the subject. His conclusions suggest the positive aspects as well as some of the problems encountered in implementing job enrichment.

Reading III-8.

Grote, Richard C.
"Implementing Job Enrichment," *California Management Review*, 15: 16-21, Fall 1972.

Grote suggests a series of sequential steps as a sophisticated model for implementing job enrichment within an organization. Of particular interest are steps 1, 5, 6, 7, and 8, which deal with the phases of analyzing and redesigning jobs.

Job enrichment requires the analysis of a job in an attempt to identify the degree of intrinsic motivation it offers the encumbent. Applying it to your own position, you might ask such questions as the following:

- Does my work allow me to establish some performance goals for myself?
- Does my work allow me to evaluate my performance against these goals?
- Can I clearly relate the activities of my work to the contributions they make in the broader context of services?

- Does my work provide me with considerable variety?
- Does my work allow me to make decisions which directly affect my actions?

If the answers to most of these questions were negative, or toward the negative end of a continuum, your job could probably stand some enrichment. If there is no way that the activities comprising your present job could be altered to allow you to respond more positively to these questions, your job may be in need of major surgery. A comparable assessment can be made of most positions in a library or information center.

Applying job enrichment usually necessitates one or more of the following alternatives:

- adding greater variety to the job, stressing opportunities for individual growth
- adding greater responsibility to the job
- adding opportunities for greater self control to the job.

Herzberg and others would be quick to emphasize, however, the need for *vertical loading* as opposed to *horizontal loading* when it comes to adding greater variety to the job. An example of horizontal loading would be adding more routine activities to a job that is already comprised of primarily routine activities. While this *enlarges* the scope of the job, it does not *enrich* it.

One of the questions which frequently arises with respect to job enrichment is whether it is applicable to all types and levels of jobs in an organization. Frequently its applicability to professional positions and "higher level" positions is more apparent that its applicability to more basic level positions. Most proponents would perceive a rather broad applicability in an organization. You may wish to reflect upon a job within your own library or information center which you would consider a logical candidate for enrichment and try to come up with some alternative means for restructuring it. To assist you in this process, the following Self Test requires you to apply the process to an activity which would be considered by many librarians to be fairly routine, namely, the shelving of books.

SELF TEST III-2

At this point, locate Self Test III-2 on page III-37 and work through it. When completed to your satisfaction, compare your answers and thoughts to the Analysis which follows.

SELF TEST III-2: ANALYSIS

Given the problem as presented in Self Test III-2, some of the possibilities for enriching these shelving positions are listed below. After each is a brief comment regarding its value.

- Assign the additional duty of shelf reading to each position. (A logical duty to add to these positions, but we suspect Herzberg would call this "horizontal loading" of the job.)
- Give them some additional duties at the desk serving patrons. (This is a better alternative for enriching the job, but it would probably require additional redesigning of other jobs to compensate for fewer total hours of shelving time.)
- Encourage them to assist patrons having difficulties locating the materials they need. (A good possibility in that it gives them a chance to achieve recognition and appreciation from the public.)
- Give each a specific "geographically" assigned area within the library as their area of responsibility in terms of maintaining the collections. (OK in that it gives them each areas of identity and responsibility. It would make it easier for them to assess their respective accomplishments.)
- Have them meet on a regular basis to share and resolve common problems; establish common standards and criteria for performance evaluation for themselves; and relate their activities to the total service goals of the circulation department. (This might be an extremely useful means for improving the dimensions of their respective jobs.)
- Have them assume responsibility for conducting the walking tours which are regularly scheduled for new patrons and groups of visitors. (A good possibility for adding a new dimension to their positions as well as giving them more interface with potential recipients of their services.)

You may have come up with many other possibilities as well as variations and refinements of the above. In each case, your primary concern should be whether you are adding additional, routine, or repetitive activities to the job (horizontal loading), or new dimensions and enriching experiences. A combination of several of the above possibilities, and others of a comparable nature, might offer the best resolution of this problem. Another aspect of job enrichment which should have become apparent from this Exercise is the potential "domino affect" of job enrichment. Frequently, the redesigning of one or several positions in the organization may necessitate the restructuring of others.

* * *

The potential value of job enrichment as a means for improving the motivational climate of an organization should be apparent by now. In concluding this discussion, however, some of the practical limitations of this approach should be pointed out. These might include such things as the following:

- Enrichment must be commensurate with the native abilities of the individual. Working above such abilities can be frustrating to such an individual and potentially detrimental to the library.
- Enriching jobs might disrupt the existing job classification scheme of the library or information center, or that imposed by the organization of which it is a part.
- Additional responsibilities assigned to an existing job might raise expectations of commensurate salary increments which it may not be possible to grant.
- Traditional distinctions between professional and clerical duties might be diminished in certain instances.
- Unions (if present) may questions the motives behind the technique, or object for other reasons.
- Given the difference in levels of intensity of motives between individuals, some employees might perceive job enrichment as a threat.
- Some approaches to job enrichment may conflict with the supervisory styles of individuals whose subordinates' jobs are being enriched.

Each of the general approaches to management introduced in this module, namely, participative management, Management by Objectives (MBO) and job enrichment, are compatible with the prevailing theories on motivation in the workplace as presented in Module II. They each potentially afford individuals a greater opportunity to satisfy higher order needs such as the following:

- recognition
- a sense of achievement
- autonomy and self control
- greater responsibility
- opportunity for growth.

None of these approaches is easy to implement. They take *time* and *careful nurturing* for their ultimate success. To a certain extent, they all require an enlightened management style. In Module IV we will be discussing management style, and various approaches that you might use to assess your own management style.

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EXERCISE III-1

Before reading the case study which follows, locate Exercise III-1 on page III-39 and follow the directions at the top of the page.

CASE STUDY III-1: Registration Clerk

You are the newly hired personnel director for a medium size public library system serving a rural/urban population of 100,000. This library has recently undergone a change in directorship, and the new director expects you to evaluate and revitalize the human resources of this library. She is interested in out-reach programs and seeing that this library system assumes a much more aggressive and assertive role in meeting the informational needs of the community. Until this point, the library, though well supported by public funds and substantial endowments, has remained content to serve the needs of a limited, but interested, audience. At the present time you are reviewing and analyzing the entire job classification scheme, as well as the content design of all positions. You are also introducing new training programs as quickly as possible in preparation for introducing major reorganization and a dynamic personnel program.

One of many "problem" positions which has come to your attention in this review is a job entitled "Registration Clerk." There has been a continual turnover in this position in the past. The present incumbent, Valorie Moran, has recently indicated to you considerable unhappiness with her job. At no time did she make a major point about her present salary, which is competitive within the library system, as well as locally, for someone with her qualifications. She is a graduate of a local two year community college and is an extremely alert and capable employee. Valorie has consistently received high ratings from her supervisor, Frances Scott, supervisor of circulation control, who, in turn, reports to the head of circulation.

You believe that Valorie Moran is a motivated young person and would like to create an improved motivational climate for her, as well as many others, on the library staff. However, since you are reviewing the entire system, with the goal of total reorganization and realignment of duties, you are reluctant to make major job reassignments in the interim period. The job description of this position of Registration Clerk includes the following primary duties:

- Registering new borrowers
- Explaining and interpreting registration policy
- Maintaining and verifying registration records.

In addition, the position description includes such secondary duties as coordinating registration records with other personnel and recording statistics regarding registration as prescribed by the supervisor.

* * *

SELECTED MATERIALS FOR FURTHER STUDY

THE PROBLEM OF INTEGRATION

Readings

Argyris, Chris.
Integrating the Individual and the Organization. New York: Wiley, 1964.

Argyris' research and writings reflect his concern with how the personal development of the individual is affected by the kind of situation in which that individual works. In this book he brings his expertise in the areas of psychology and sociology to bear on the relationship between individual and organization. He analyzes some of the causes of human problems within organizations and presents a theoretical framework for changing the structure of these organizations.

Argyris, Chris.
Personality and Organization; The Conflict Between System and the Individual. New York: Harper, 1957.

In this frequently quoted work, Argyris asserts that authoritarian management is inconsistent with healthy personality development; that modern organizations produce infantile rather than adult behavior. That is, such authoritarianism encourages passivity rather than activity, dependence as opposed to independence, a narrow rather than a broad repertoire of skills; and that this produces worker reactions ranging from apathy and limited commitment to work, to strikes and subtle sabotage. What is lacking, according to Argyris, are opportunities for "self-actualization"; this can come about only through involvement or participation in the decisions of the organization.

Hanan, Mack.
"Make Way for the New Organization Man." *Harvard Business Review,* 71: 128-138, July/August 1971.

The author defines the new organization man as one who has a different hierarchy of values. "He belongs chiefly to himself as an individual, and secondarily to his professional discipline. Corporate belonging often runs third; indeed, many times, and perhaps increasingly, it is a distant fourth, after his sense of social belonging." Hanan observes that new need patterns "clearly set these men apart from their predecessors. . .Accordingly, many new responses will have to be made by top management. Some of the actions will be quite distinctly different from the way things have been done. But before such corporate responses can take place, the need patterns of the new organization men will have to be understood and accepted."

The response styles include new modes of getting these men involved, new methods of leading them, and new ways of allowing them to achieve self-fulfillment. The minimal steps of organizational response that Hanan advocates for the new organization man consist of three categories:

- Personal involvement: making use of new forms of equity participation, broad representation, and greater decentralization of managerial autonomy.
- Collaborative leadership: emphasizing the joint exercise of authority and innovative approaches to goal setting and achievement.
- Self-fulfillment options: centering on the invigoration of individual rights within the corporate framework and on the setting up of fast-track recognition for excellence.

Luke, Robert A., Jr.
"Matching the Individual and the Organization," *Harvard Business Review*, 75: 17-34 & 165, May/June 1975.

In this article, the author gives a brief survey of the history and the literature of organizational integration, synthesizing the contributions of the major thinkers in the field from Jean Jacques Rousseau and other early luminaries, through the empiricists (Roethlisberger, Mayo, Lewin, Lippitt) to McGregor and other social scientists like Likert, Argyris, and Blake and Mouton, who applied their theories *in* organizations. Luke concludes his article with a discussion of organizational development (OD), which we will study in Module V, and the three kinds of models that the practitioners who call themselves change agents, or, more recently, OD practitioners, use in dealing with organizations. The author contends that managers, by redefining their roles, can use these models to become change agents within their organizations and to redesign the organizational structure to ensure a better fit between the organization's (or library's) task requirements and employees' needs.

Rothman, Howard D. and F. F. Jahnig.
"Managing the 'Human Revolution'," *Personnel Administrator*, 20: 44-48, June 1975.

In Part I of this article, Howard Rothman explains a new approach to integrating individual and organizational goals which his company developed. Their system utilizes a matrix to interrelate "each job, skill proficiency level, and advancement step for every employee" in the organization. The system uses the goals of individuals and the organization to their own, and each other's, advantage: by detailing objective rewards for the achievement of employees' personal goals, their goals become incentives, and the employees are motivated. At the same time, the organization's objectives are also met "as the skills and productivity of each worker expand, turnover is reduced, and morale is enriched." In Part II, author Jahnig describes how this approach was successfully implemented in a large data processing department of the Chase Manhattan Bank. The ideas herein presented certainly have applicability to libraries as well.

Wall, H. Richard.
"Reconciling Organization and Personal Goals," *Personnel Journal*, 49: 41-44, January 1970.

In this brief article, a practicing manager in the business sector discusses the importance of creating a positive climate of mutual support between the individual and the organization. The author briefly discusses what Freud, Maslow and Argyris have contributed to our understanding of the individual's quest for the realization of his full potential, as well as how Blake and Mouton have related these concepts to styles of management via their "Managerial Grid", which we shall discuss in Module IV. He suggests that there are a number of ways in which organizations can bring about a state in which personal and organizational goals are more nearly reconciled. One way which he advocates is through a counseling and performance review program which becomes a two-way process and allows for the exchange of ideas between superior and employee—the kind of results-oriented performance appraisal which is characteristic of MBO. Wall includes six questions which he suggests you try asking the individuals who report to you as an experiment to see what can be attained through such constructive interaction.

Other Media

The Fully Functioning Individual
(Film) BNA Communications, 1969. 25 minutes, sound, color, 16mm (Tough-Minded Management Series).

Defines fully functioning individuals as needing growth and challenges, and having the right to expect opportunities for growth and self-development, as well as realistic appraisals of their capabilities, from the management of their organizations. Also available in 3/4 inch video cassette format.

The Fully Functioning Organization.
(Film) BNA Communications, 1969. 25 minutes, sound, color, 16mm (Tough-Minded Management Series).

Joe Batten describes his "servo-climate for results", which he says must permeate the whole organization, providing a grand design which sets the style and tone of the entire organization. Also available in 3/4 inch video cassette format.

Human Nature and Organizational Realities.
(Film) BNA Communications, 1967. 28 minutes, sound, color, 16mm (Gellerman Motivation and Productivity Series).

We listed other films in this series in Modules I and II. In this film, Chris Argyris discusses his experiences in redesigning routine jobs to motivate employees at the lower levels of an organization, and in improving interpersonal relations at all levels. Also available in 3/4 inch video cassette format.

Human Nature and Organizational Realities.
(Audio tape cassette) BNA Communications, 1970. 60 minutes (Motivation and Productivity Series).

Designed to supplement the film of the same title in which Saul Gellerman and Emanuel Kay (both management consultants) discuss the ideas of Chris Argyris on motivation. They point out that employee apathy and lack of effort, often diagnosed by managers as laziness, may, indeed, be healthy reactions by normal people to an unhealthy organizational climate.

Individuality and Teamwork.
(Film) BNA Communications, 1969. 25 minutes, sound, color, 16mm (Organizational Renewal Series).

Describes Dr. Gordon L. Lippitt's "matrix" organization, in which each individual and his contributions are fully utilized. Many "how-to's" for effective interaction in organizations are presented as the processes of effective leadership in work groups are explained. Also available in 3/4 inch video cassette format.

PARTICIPATIVE MANAGEMENT

Readings

Flener, Jane G.
"Staff Participation in Management in Large University Libraries," *College and Research Libraries*, 34:275-9, July 1973.

A CLR Fellowship in 1971-72 enabled the author to visit ten large university libraries (with professional staffs of about 100) to study staff participation as it was really functioning in these libraries. Site visits were made to determine the type of climate in which participation developed; the kind of preparation that had been given to the staff; those areas in decision making that seemed best suited to staff participation; the role that the professional staff association plays; and staff interest and reaction to staff participation in the decision making process. Flener's report of what she learned should be of interest to many librarians.

Holley, Edward G.
"Organization and Administration of Urban University Libraries," *College and Research Libraries*, 33:175-189, May 1972.

The author, who is now Dean of the School of Library Science, The University of North Carolina at Chapel Hill, wrote this report after completing a study of several urban university libraries during the Spring of 1971. Dean Holley discusses the phenomenal growth characteristic of urban university libraries during the decade of the 60's, and other factors which have led to the organizational problems these large libraries now face; typical organizational patterns in university libraries; two attempts at nontraditional organization of such libraries: the Columbia University libraries and UCLA; and the trend toward more participation in decision making by the staffs of these libraries. He states that his trips around the country indicated "a decided interest among many library staffs in greater participation in library policy-making" (p. 180).

Kaplan, Louis.
"The Literature of Participation: From Optimism to Realism," *College and Research Libraries*, 36:473-9, November 1975.

Kaplan briefly surveys the literature of participation, suggesting that the optimism which marked Likert's *New Patterns of Management* in 1961 has been replaced by a more realistic outlook in regard to participative management. However, Kaplan contends that "despite the new realism, participation remains an important tool of management," and "its use in the United States (and elsewhere) has grown." Kaplan has summarized a number of studies in this article which should be of interest to librarians and library managers.

Kaser, David.
"Modernizing the University Library Structure," *College and Research Libraries*, 31:227-231, July 1970.

Dr. Kaser comments on the traditional organizational pyramid that has been common in most university libraries, and the limited participation that this structure affords the professional staff. He proposes a peer structure to "function in parallel" with the pyramidal structure, which would allow university librarians greater opportunities for participation in decision making "in all areas and at all echelons".

Melcher, Arlyn J.
"Participation: A Critical Review of Research Findings," *Human Resources Management*, 15:12-21, Summer 1976.

The author provides a critical review and summary of some of the relevant research on the relationship between participative management and the effectiveness of organizations. From the studies reviewed, the author draws these conclusions:

- Participation in decisions sharply increases the acceptance of decisions.
- The process of participation affects the attitudes only of those actually consulted; those who stand outside the process apparently aren't influenced.
- Participation in inconsequential decisions doesn't affect general attitudes.
- The effects of participation may be mediated by personality. Those with an authoritarian orientation and low need for independence react positively where little participation is used. (pp. 19 & 20)

Since the experimental evidence suggests that "under varying conditions, broad use of participation has different effects", those who are considering the use of participative approaches in their libraries would do well to read this article.

Nyren, Karl E.
"Participatory Management in Libraries: What Is Its Future?" *Library Journal*, 101:1186-7, May 1976.

Library Journal asked seven library leaders, representing academic, public, and school libraries/media centers to comment on the future they saw for participatory management in libraries. Their responses, which were published in LJ's "Skirmish Line", indicate that librarians are far from agreeing upon the role which participative management should play in American libraries.

Tarr, Susan Akerstrom.
"Effective Group Process for Libraries: A Focus on Committees," *College and Research Libraries*, 35:444-452, November, 1974.

The author suggests that "Rather than asking, as does most of the literature, 'Will participation work or won't it?', research should be directed toward asking, 'How can we make it work?' " Believing that committees offer a viable means of providing for greater and more effective staff participation, she has provided an excellent overview of the use of committees and groups in the governance and decision making processes in libraries. The author selectively draws upon pertinent research findings of the behavioral sciences and discusses their implications for managers of libraries and information centers.

Webster, Bryan.
"Participation—Power Shift or Power Sharing?" *Personnel Management*, 7:20-2+34, November 1975.

Not only does Bryan Webster have something to say in this brief essay on participation, but, to the reader's delight, he says it well and with a sense of humor. His essay was the winning entry in the 1975 Reed essay competition. Mr. Webster examines the motivations behind the various groups who are championing participation. The author himself obviously falls into the fourth category: those "who believe that the time has come to recognize the equality of man in practical forms."

Other Media

Management by Participation.
(Film) BNA Communications, 1971. 30 minutes, sound, color, 16mm (Effective Organization Series).

Dr. Alfred J. Marrow, Board Chairman of the Harwood Companies, describes the techniques used in introducing and practicing participative management in his organization. He also discusses leadership styles and organizational climate, topics which we will study in Modules IV and V. Also available in 3/4 inch video cassette format.

Management by Participation.
(Audio tape cassette) BNA Communications, 1971. 30 minutes (Effective Organization Series).

Saul Gellerman introduces and builds upon the ideas in the film of the same title.

Participative Management: Myths and Realities/Making Teamwork Effective.
(Audio tape cassette) BNA Communications, 1971. 40 minutes.

Peter Drucker and John Humble informally exchange ideas about participative management.

MANAGEMENT BY OBJECTIVES (MBO)

Readings

Association of Research Libraries. Office of University Library Management Studies and McGill University Libraries.
Staff Performance Evaluation Program at the McGill University Libraries: A Program Description of a Goals-Based Performance Evaluation Process with Accompanying Supervisor's Manual. Washington, D.C.: ARL, 1976.

An excellent example of an attempt to apply elements of an MBO system in a univeristy library. It includes a description of the design process by Jeffrey Gardner, and the program description of the performance evaluation program introduced at the McGill University Libraries. It also provides a very good example of a hierarchy of objectives from the broad organizational level to specific performance standards for individuals. Although the process which is presented is geared toward a large academic library, it could be modified and applied to a library or information center of any size. Available prepaid from the ARL Office of Management Studies, 1527 New Hampshire Avenue, N.W., Washington, D.C. 20036 for $7.00.

Brady, Rodney H.

"MBO Goes to Work in the Public Sector," *Harvard Business Review*, 51:63-74, March/April 1973.

Although MBO has become an accepted and widely used management tool in the private business sector, many have insisted that MBO would not be as applicable or effective in public service organizations. In this article, the author describes how MBO was implemented at the Department of Health, Education, and Welfare (HEW)—"the nation's largest organization in terms of spending power, and an organization that has been called unmanageable" (p. 63). Mr. Brady describes some of the problems which public service organizations, such as libraries, must overcome before MBO can be successfully implemented; he also discusses some of the problems that HEW had to face along the road to implementation. Finally, he summarizes some of the lessons that HEW learned from their experiences with MBO that should prove helpful to others who wish to utilize it.

Crum, Norman J.

Library Goals and Objectives: Literature Review. ERIC Clearinghouse on Library and Information Sciences, 1973. (ERIC Document 082 794).

A comprehensive bibliographic essay of the library literature dealing with organizational goals and objectives. Included is a lengthy, and very useful, bibliography.

Odiorne, George S.

"Management by Objectives: Antidote to Future Shock," *Personnel Journal*, 53:258-263, April 1974.

Professor Odiorne's droll sense of humor makes this article thoroughly readable and enjoyable. Herein he presents Odiorne's Law: "Things that do not change will remain the same." He insists that we will not be swept into the future on a wave of inevitability; somebody will have to make it happen. A noted authority on MBO, Dr. Odiorne suggests MBO as an antidote to future shock. He emphasizes that MBO must begin with *reality*, answering the question: "Where are we now?" Only then can we move on to the next three questions he suggests: "If we didn't do anything differently, where would we be in 1-5-10 years? Do we like that answer? If not, then where would we like to be?" Finally, "What are the optional courses open to us, and which one shall we choose?" (p. 262). If you'd like to know what the 3 postulates and 13 theorems that Odiorne has derived from his Law are, you'll have to read this article which is well worth your time.

Sherwin, Douglas S.

"Management of Objectives," *Harvard Business Review*, 76:149-160, May/June 1976.

In this article the author presents a technique for structuring an organization to facilitate the achievement of the objectives of that organization: the objectives grid. Believing that the realization of an organization's objectives is usually not the sum of many individual accomplishments or tasks, but occurs, more often, through the coordinated contributions of several individuals in various parts of the organization, the author suggests that the organization's objectives and the functions necessary to achieve them can be coordinated on a grid. This grid makes explicit the functions and individuals who must contribute to the achievement of each objective. Whether one is dealing with ongoing (maintenance) objectives, or those which are aimed at improving the status quo (change objectives), the author asserts that the grid can prove to be a very useful tool. He concludes his article by discussing five questions about the grid as it relates to more traditional ways of viewing MBO.

Webster, Duane E.

Library Policies: Analysis, Formulation and Use in Academic Institutions. Washington, D.C.: Association of Research Libraries, Office of University Library Management Studies, Occasional papers, number 2, 1972.

This practical handbook stresses the importance of policy analysis and formulation in libraries and "proposes a system for improving the use of management policies in large academic libraries." Although the model for policy formulation is geared to large academic libraries, the process might well be modified and transferred to any library setting. Available prepaid from the ARL Office of Management Studies, 1527 New Hampshire Avenue, N.W., Washington, D.C. 20036 for $3.00.

Webster, Duane E. and Jeffrey J. Gardner.

The Formulation and Use Of Goals and Objectives Statements in Academic and Research Libraries. Washington, D.C.: Association of Research Libraries, Office of University Library Management Studies, Occasional papers, number 3, 1974.

A practical handbook on the importance of goal formulation, including a model for their formulation in a library setting. Strongly advocated is the necessity and importance of staff participation in this process. Available prepaid from the ARL Office of Management Studies, 1527 New Hampshire Avenue, N.W., Washington, D.C. 20036 for $5.00.

Young, Arthur P.

"Generating Library Goals and Objectives," *Illinois Libraries*, 56: 862-66, November 1974.

An excellent article for those who wish to learn more about formulating goals and objectives for their library. This article focuses on "the construction of written library goals and objectives, major characteristics of measurable library objectives, and activities/actions in support of objectives." The author stresses the importance of insuring that the goals and objectives which you formulate are measurable, so that progress toward their attainment can be continually assessed. Included are a sample hierarchy and some examples of library objectives.

Other Media

Applying Management by Objectives.

(Film) Educational Systems and Designs, n.d. 29 minutes, sound, black/white, 16mm (Management by Objectives Series).

This film is one of a series which was designed to train individuals in MBO concepts and assist in the in-service education so vital to successfully implementing an MBO program. Other titles in the series are: Establishing Performance Criteria; Innovation by Objectives; Job Responsibilities and Measurement; Organizational Goal Planning; and Problem Solving by Objectives.

Colt—A Case History.
(Film) BNA Communications, 1969. 24 minutes, sound, color, 16mm (BNA Management by Objectives Series).

Shows step-by-step how MBO was introduced into a *real* company. Demonstrates how original skepticism on the part of company managers was transformed into enthusiastic acceptance once the benefits to be derived from MBO were proven. Also available in 3/4 inch video cassette format.

Defining the Manager's Job.
(Film) BNA Communications, 1969. 21 minutes, sound, color, 16mm (BNA Management by Objectives Series).

Demonstrates how objectives for each employee are arrived at jointly by superior and subordinate, so that performance can be measured against these mutually agreed upon objectives. Also available in 3/4 inch video cassette format.

Management by Objectives.
(Film) BNA Communications, 1969. 27 minutes, sound, color, 16mm (BNA Management by Objectives Series).

One of six films in the series of the same title, this film presents the basic philosophy of MBO, and shows how clearly defined organizational objectives, once they are formulated, can be integrated with development programs for individual managers. The other three films in this series which we have not included in this listing are: Focus the Future; Management Training; and Performance and Potential Review. Also available in 3/4 inch video cassette format.

Management by Objectives/Management of the Non-Profit Organization. (Audio tape cassette) BNA Communications, 1971. 40 minutes.

Peter Drucker and John Humble discuss MBO and some aspects of implementing it in a non-profit organization.

JOB ENRICHMENT

Readings

Hackman, J. Richard.
"Is Job Enrichment Just a Fad?", *Harvard Business Review*, 75:129-138, September/October 1975.

The author feels strongly that job enrichment offers great potential to change jobs effectively and to help individuals achieve the kind of satisfaction that develops "only when an individual is stretching and growing as a human being and increasing his sense of competence and worth" (p. 138). However, he emphasizes that many work redesign projects have failed to realize this potential, and that managers must take a hard look at *why*. Hackman contends that the problem lies in the way most projects are *implemented*, and he discusses six major areas where things can very easily, and often do, go wrong. He then goes on to explain "How it can be done": listing five important elements that most successful projects have in common. Librarians who might wish to attempt job enrichment in their libraries should find this article very helpful.

Whitsett, David A.
"Where Are Your Unenriched Jobs?", *Harvard Business Review*, 53: 74-80, January/February 1975.

The author is a longtime practioner of job enrichment who offers some very practical advice on how to determine which jobs in your organization offer possibilities for job enrichment. Eleven structural clues are described which indicate that the opportunity for enrichment exists in a given job or jobs. The author also briefly discusses the characteristics of a well-designed job, and suggests that even if job enrichment is *possible*, one must decide whether or not it is *desireable* in any given situation.

Other Media

Job Enrichment in Action.
(Film) BNA Communiations, 1969. 25 minutes, sound, color, 16mm (Motivation to Work Series).

Job enrichment is demonstrated with an actual case study where results were measured when the job was redesigned to allow for more responsibility, achievement, and individual growth. Herzberg stresses that job enrichment must be an on-going program of building motivation into the work itself, not an occasional input or one-shot panacea. Also available in 3/4 inch video cassette format.

Making Human Resources Productive.
(Film) BNA Communications, 1971. 30 minutes, sound, color, 16mm (Effective Organization Series).

Scott Myers, an organizational development consultant, discusses job enrichment and defines it as altering the relationship of the individual employee to the authority structure of the organization. Also available in 3/4 inch video cassette format.

Making Human Resources Productive.
(Audio tape cassette) BNA Communications, 1971. 30 minutes (Effective Organization Series).

Dr. Saul Gellerman comments on the ideas presented in the film above, providing added insight into Scott Myers' comments about job enrichment.

The Modern Meaning of Efficiency.
(Film) BNA Communications, 1969. 25 minutes, sound, color, 16mm (Motivation to Work Series).

Herzberg explains why it is no longer considered efficient to break down a job into the simplest possible units. This amputates rather than utilizes talent. Inefficiency may, indeed, *cause* a "poor attitude" on the part of employees rather than result from it. Also available in 3/4 inch video cassette format.

SOURCES OF NONPRINT MATERIALS

If the distributor of an item is different than the producer, we have attempted to indicate this. Where only the producer is listed, they distribute their products. Many of these materials may also be available locally through public, academic or other libraries. Check with your local public library system, especially as regards the availability of 16mm film titles.

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5615 Fishers Lane
Rockville, Maryland 20852

Educational Systems and Designs
136 Main Street
Westport, Connecticut 06800

SELF TEST III-1

Directions: Given the two parties just mentioned in the text, namely the head librarian and the acquisitions librarian, and the decision making prerogative with respect to the ordering of new materials, discuss some of the specific factors which might determine the arrangement between the two parties as to who makes the final decisions. Group your specific factors under the following general factors:

(1) The extent of agreement between the two on the criteria for making such decisions:

(2) Availability of and access to the information needed in making such decisions:

(3) Ability and level of training of the acquisitions librarian:

(4) The ability and personality of the head librarian:

(5) Degree of mutual confidence and trust between the acquisitions librarian and the head librarian:

SELF TEST III-2: JOB ENRICHMENT

THE SITUATION:

Public Library A has three full-time positions in its main library entitled "Library Shelvars". The primary duties of each position are as follows:

- To rearrange books on temporary shelving as returned by patrons
- To shelve books in their appropriate locations in the stacks
- To pick up and reshelve books used by patrons within the library.

The incumbents in each position report directly to the supervisor of the circulation desk. There is constant turnover in these positions, and the attitude of most incumbents is generally negative.

DIRECTIONS:

Assuming the normal responsibilities of a circulation operation in most libraries, make a list of your recommendations for *enriching* these jobs, and comment on the value of each of the possibilities on your list.

Name: ______________________________

EXERCISE III-1

DIRECTIONS:

1. Read Case Study III-1: "Registration Clerk" on page III-23.
2. Answer each of the following questions using the reverse side of the page and additional paper if necessary.
3. When completed to your satisfaction, be sure to make a copy for your records. Then place the original in an envelope and mail it for review by your Faculty Evaluator to:

Motivation: A Vital Force in the Organization
CLENE Home Study Project
P.O. Box 1228
620 Michigan Avenue, N.E.
Washington, DC 20064

Given the brief facts of the situation described in Case Study III-1, answer each of the following questions. Assume that you are the newly hired personnel director in each case. In answering each question, you may make any additional assumptions that you wish, as long as you clearly indicate to your Faculty Evaluator what they are.

Question 1: Since you and the new director of the library are committed to participative management, suggest some specific ways in which you might involve Valorie in decision making and problem solving in this library system.

Question 2: You are considering introducing Management by Objectives to the system and will begin by experimenting with a few positions in the library. You've decided to include Valorie as one test case. Discuss how you might proceed (i.e., the process involved) and indicate some appropriate performance standards for the position.

Question 3: Discuss several ways in which you might redesign this job in order to introduce more motivational factors into its content. In other words, how might you enrich this job?

Name: ______________________________

EVALUATION OF MODULE III

Now that you have completed this module, we would appreciate having your reactions and critical comments. Please answer the questions below and feel free to make additional comments. If more space is needed, continue on the back of this page. Please mail to:

Motivation: A Vital Force in the Organization
CLENE Home Study Project
P.O. Box 1228
620 Michigan Avenue, N.E.
Washington, D.C. 20064

1. All things considered, how would you rate this module?

1	2	3	4
excellent	good	mediocre	poor

2. Were the directions and the instructions included throughout the module sufficient?

1	2	3	4
ample	sufficient	minimally sufficient	insufficient

3. Was the material presented in a logical form?

1	2	3	4
very logical	reasonably logical	minimally logical	illogical

4. Was there a sufficient variety of activities?

1	2	3	4
ample variety	sufficient	minimally sufficient	insufficient

5. Did the module contain the right amount of material?

1	2	3	4
too much	just right	about right	too little

6. What was the best thing about this module?

7. What was tne worst thing about this module?

8. How many hours did you spend completing this module? ______ hours

Additional Comments:

Motivation: A Vital Force in the Organization

A HOME-BASED STUDY COURSE FOR LIBRARY/MEDIA/INFORMATION PERSONNEL

Module III:
Integrating Individual and Organizational Goals

Readings for Module III

Produced by:

The Continuing Library Education Network and Exchange [CLENE]
P.O. Box 1228
620 Michigan Avenue, N.E.
Washington, DC 20064

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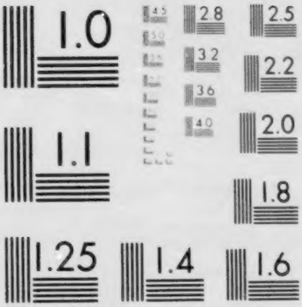

MICROCOPY RESOLUTION TEST CHART
NATIONAL BUREAU OF STANDARDS-1963-A

Chris Argyris, "The Individual and the Organization: Some Problems of Mutual Adjustment," *Administrative Science Quarterly*, 2:1-24, June 1957. Copyright © 1957. Reprinted by permission of the *Administrative Science Quarterly*, Cornell University, Ithaca, New York.

The Individual and Organization: Some Problems of Mutual Adjustment

Ideally, healthy development in our culture involves growth from being passive as an infant to being active as an adult; from being dependent to being relatively independent; from being in a subordinate position to achieving equal or higher position than friends achieve; from expressing few and shallow abilities to expressing many and deeper abilities. If formal organization is defined by the use of such principles as task specialization, unity of direction, chain of command, and span of control, then employees work in a situation in which they tend to be dependent, subordinate, and passive to a leader. This type of situation may create frustration, conflict, and failure for the employee. He may react by regressing, decreasing his efficiency, and creating informal systems against management.[1]

The author is a member of the faculty of the Department of Industrial Administration, Yale University.

IT IS a fact that most industrial organizations have some sort of formal structure within which individuals must work to achieve the organization's objectives.[2] Each of these basic components of organization (the formal structure and the individuals) has been and

continues to be the subject of much research, discussion, and writing. An extensive search of the literature leads us to conclude, however, that most of these inquiries are conducted by persons typically interested in one or the other of the basic components. Few focus on both the individual and the organization.

Since in real life the formal structure and the individuals are continuously interacting and transacting, it seems useful to consider a study of their simultaneous impact upon each other. It is the purpose of this paper to outline the beginnings of a systematic framework by which to analyze the nature of the relationship between formal organization and individuals and from which to derive specific hypotheses regarding their mutual impact. Although a much more detailed definition of formal organization will be given later, it is important to emphasize that this analysis is limited to those organizations whose original formal structure is defined by such traditional principles of organization as "chain of command," "task specialization," "span of control," and so forth. Another limitation is that since the nature of individuals varies from culture to culture, the conclusions of this paper are also limited to those cultures wherein the proposed model of personality applies (primarily American and some Western European cultures).

The method used is a simple one designed to take advantage of the existing research on each component. The first objective is to ascertain the basic properties of each component. Exactly what is known and agreed upon by the experts about each of the components? Once this information has been collected, the second objective follows logically. When the basic properties of each of these components are known, what predictions can be made regarding their impact upon one another once they are brought together?

SOME PROPERTIES OF HUMAN PERSONALITY

The research on the human personality is so great and voluminous that it is indeed difficult to find agreement regarding its basic

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[1] This analysis is part of a larger project whose objectives are to integrate by the use of a systematic framework much of the existing behavioral-science research related to organization. The total report will be published by Harper & Brothers as a book, tentatively entitled *The Behavioral Sciences and Organization*. The project has been supported by a grant from the Foundation for Research on Human Behavior, Ann Arbor, Michigan, for whose generous support the writer is extremely grateful.

[2] Temporarily, "formal structure" is defined as that which may be found on the organization charts and in the standard operating procedures of an organization

properties.[3] It is even more difficult to summarize the agreements once they are inferred from the existing literature. Because of space limitations it is only possible to discuss in detail one of several agreements which seems to the writer to be the most relevant to the problem at hand. The others may be summarized briefly as follows. Personality is conceptualized as (1) being an organization of parts where the parts maintain the whole and the whole maintains the parts; (2) seeking internal balance (usually called adjustment) and external balance (usually called adaptation); (3) being propelled by psychological (as well as physical) energy; (4) located in the need systems; and (5) expressed through the abilities. (6) The personality organization may be called "the self" which (7) acts to color all the individual's experiences, thereby causing him to live in "private worlds," and which (8) is capable of defending (maintaining) itself against threats of all types.

The self, in this culture, tends to develop along specific trends which are operationally definable and empirically observable. The basic developmental trends may be described as follows. The human being, in our culture:

(1) tends to develop from a state of being passive as an infant to a state of increasing activity as an adult. (This is what E. H. Erikson has called self-initiative and Urie Bronfenbrenner has called self-determination.[4])

(2) tends to develop from a state of dependence upon others as an infant to a state of relative independence as an adult. Relative independence is the ability to "stand on one's own two feet" and simultaneously to acknowledge healthy dependencies.[5] It is characterized by the individual's freeing himself from his childhood determiners of behavior (e.g., the family) and developing his own set of behavioral determiners. The individual does not tend to react to others (e.g., the boss) in terms of patterns learned during childhood.[6]

(3) tends to develop from being capable of behaving in only a few ways as an infant to being capable of behaving in many different ways as an adult.[7]

(4) tends to develop from having erratic, casual, shallow, quickly dropped interests as an infant to possessing a deepening of interests as an adult. The mature state is characterized by an endless series of challenges where the reward comes from doing something for its own sake. The tendency is to analyze and study phenomena in their full-blown wholeness, complexity, and depth.[8]

(5) tends to develop from having a short-time perspective (i.e., the present largely determines behavior) as an infant to having a much longer time perspective as an adult (i.e., the individual's behavior is more affected by the past and the future).[9]

(6) tends to develop from being in a subordinate position in the family and society as an infant to aspiring to occupy at least an equal and/or superordinate position relative to his peers.

(7) tends to develop from having a lack of awareness of the self as an infant to having an awareness of and control over the self as an adult. The adult who experiences adequate and successful control over his own behavior develops a sense of integrity (Erikson) and feelings of self-worth (Carl R. Rogers).[10]

These characteristics are postulated as being descriptive of a basic multidimensional developmental process along which the

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[3] The relevant literature in clinical, abnormal, child, and social psychology, and in personality theory, sociology, and anthropology was investigated. The basic agreements inferred regarding the properties of personality are assumed to be valid for most contemporary points of view. Allport's "trait theory," Cattell's factor analytic approach, and Kretschmer's somatotype framework are not included. For lay description see the author's *Personality Fundamentals for Administrators*, rev. ed. (New Haven, 1954).

[4] E. H. Erikson, *Childhood and Society* (New York, 1950); Urie Bronfenbrenner, "Toward an Integrated Theory of Personality," in Robert R. Blake and Glenn V. Ramsey, *Perception* (New York, 1951), pp. 206–257. See also R. Kotinsky, *Personality in the Making* (New York, 1952), pp. 8–25.

[5] This is similar to Erikson's sense of autonomy and Bronfenbrenner's state of creative interdependence.

[6] Robert W. White, *Lives in Progress* (New York, 1952), pp. 339 ff.

[7] Lewin and Kounin believe that as the individual develops needs and abilities the boundaries between them become more rigid. This explains why an adult is better able than a child to be frustrated in one activity and behave constructively in another. See Kurt Lewin, *A Dynamic Theory of Personality* (New York, 1935) and Jacob S. Kounin, "Intellectual Development and Rigidity," in R. Barker, J. Kounin, and H. R. Wright, eds., *Child Behavior and Development*, (New York, 1943), pp. 179–198.

[8] Robert White, *op. cit.*, pp. 347 ff.

[9] Lewin reminds those who may believe that a long-time perspective is not characteristic of the majority of individuals of the billions of dollars that are invested in insurance policies. Kurt Lewin, *Resolving Social Conflicts* (New York, 1948), p. 105.

[10] Carl R. Rogers, *Client-Centered Therapy* (New York, 1951).

growth of individuals in our culture may be measured. Presumably every individual, at any given moment in time, could have his degree of development plotted along these dimensions. The exact location on each dimension will probably vary with each individual and even with the same individual at different times. Self-actualization may now be defined more precisely as the individual's plotted scores (or profile) along the above dimensions.[11]

A few words of explanation may be given concerning these dimensions of personality development:

(1) They are only one aspect of the total personality. All the properties of personality mentioned above must be used in trying to understand the behavior of a particular individual. For example, much depends upon the individual's self-concept, his degree of adaptation and adjustment, and the way he perceives his private world.

(2) The dimensions are continua, where the growth to be measured is assumed to be continuously changing in degree. An individual is presumed to develop continuously in degree from infancy to adulthood.

(3) The only characteristic assumed to hold for all individuals is that, barring unhealthy personality development, they will move from the infant toward the adult end of each continuum. This description is a model outlining the basic growth trends. As such, it does not make any predictions about any specific individual. It does, however, presume to supply the researcher with basic developmental continua along which the growth of any individual in our culture may be described and measured.

(4) It is postulated that no individual will ever obtain maximum expression of all these developmental trends. Clearly all individuals cannot be maximally independent, active, and so forth all the time and still maintain an organized society. It is the function of culture (e.g., norms, mores, and so forth) to inhibit maximum expression and to help an individual adjust and adapt by finding his optimum expression.

A second factor that prevents maximum expression and fosters

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[11] Another related but discrete set of developmental dimensions may be constructed to measure the protective (defense) mechanisms individuals tend to create as they develop from infancy to adulthood. Exactly how these would be related to the above model is not clear.

optimum expression are the limits set by the individual's own personality. For example, some people fear the same amount of independence and activity that others desire, and some people do not have the necessary abilities to perform certain tasks. No given individual is known to have developed all known abilities to their full maturity.

(5) The dimensions described above are constructed in terms of latent or genotypical characteristics. If one states that an individual needs to be dependent, this need may be ascertained by clinical inference, because it is one that individuals are not usually aware of. Thus one may observe an employee acting as if he were independent, but it is possible that if one goes below the behavioral surface the individual may be quite dependent. The obvious example is the employee who always seems to behave in a manner contrary to that desired by management. Although this behavior may look as if he is independent, his contrariness may be due to his great need to be dependent upon management which he dislikes to admit to himself and to others.

One might say that an independent person is one whose behavior is not caused by the influence others have over him. Of course, no individual is completely independent. All of us have our healthy dependencies (i.e., those which help us to be creative and to develop). One operational criteria to ascertain whether an individual's desire to be, let us say, independent and active is truly a mature manifestation is to ascertain the extent to which he permits others to express the same needs. Thus an autocratic leader may say that he needs to be active and independent; he may also say that he wants subordinates who are the same. There is ample research to suggest, however, that his leadership pattern only makes him and his subordinates more dependence-ridden.

SOME BASIC PROPERTIES OF FORMAL ORGANIZATION

The next step is to focus the analytic spotlight on the formal organization. What are its properties? What are its basic "givens"? What probable impact will they have upon the human personality? How will the human personality tend to react to this impact? What sorts of chain reactions are probable when these two basic components are brought together?

Formal Organizations as Rational Organizations

Probably the most basic property of formal organization is its logical foundation or, as it has been called by students of administration, its essential rationality. It is the planners' conception of how the intended consequences of the organization may best be achieved. The underlying assumptions made by the creators of formal organization is that within respectable tolerances man will behave rationally, that is, as the formal plan requires him to behave. Organizations are formed with particular objectives in mind, and their structures mirror these objectives. Although man may not follow the prescribed paths, and consequently the objectives may never be achieved, Herbert A. Simon suggests that by and large man does follow these prescribed paths:

> Organizations are formed with the intention and design of accomplishing goals; and the people who work in organizations believe, at least part of the time, that they are striving toward these same goals. We must not lose sight of the fact that however far organizations may depart from the traditional description...nevertheless most behavior in organizations is intendedly rational behavior. By "intended rationality" I mean the kind of adjustment of behavior to goals of which humans are capable—a very incomplete and imperfect adjustment, to be sure, but one which nevertheless does accomplish purposes and does carry out programs.[12]

In an illuminating book, L. Urwick eloquently describes this underlying characteristic.[13] He insists that the creation of a formal organization requires a logical "drawing-office" approach. Although he admits that "nine times out of ten it is impossible to start with a clean sheet," the organizer should sit down and in a "cold-blooded, detached spirit...draw an ideal structure." The section from which I quote begins with Urwick's description of how the formal structure should be planned. He then continues:

> Manifestly that is a drawing-office job. It is a designing process. And it may be objected with a great deal of experience to support the contention that organization is never done that way...human organization. Nine times out of ten it is impossible to start with a clean sheet. The organizer has to make the best possible use of the human material

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[12] Herbert A. Simon, *Research Frontiers in Politics and Government* (Washington, D.C., 1955), ch. ii, p. 30.

[13] L. Urwick, *The Elements of Administration* (New York, 1944).

> that is already available. And in 89 out of those 90 per cent of cases he has to adjust jobs around to fit the man; he can't change the man to fit the job. He can't sit down in a cold-blooded, detached spirit and draw an ideal structure, an optimum distribution of duties and responsibilities and relationships, and then expect the infinite variety of human nature to fit into it.
>
> To which the reply is that he can and he should. If he has not got a clean sheet, that is no earthly reason why he should not make the slight effort of imagination required to assume that he has a clean sheet. It is not impossible to forget provisionally the personal facts—that old Brown is admirably methodical but wanting in initiative, that young Smith got into a mess with Robinson's wife and that the two men must be kept at opposite ends of the building, that Jones is one of those creatures who can think like a Wrangler about other people's duties but is given to periodic amnesia about certain aspects of his own.[14]

The task of the organizer, therefore, is to create a logically ordered world where, as Fayol suggests, there is a "proper order" and in which there is a "place for everything (everyone)."[15]

The possibility that the formal organization can be altered by personalities, as found by Conrad M. Arensberg and Douglas McGregor[16] and Ralph M. Stogdill and Katheleen Koehler,[17] is not denied by formal organizational experts. Urwick, for example, states in the passage below that the planner must take into account the human element. But it is interesting to note that he perceives these adjustments as "temporary deviations from the pattern in order to deal with idiosyncrasy of personality." If possible, these deviations should be minimized by careful preplanning.

> He [the planner] should never for a moment pretend that these (human) difficulties don't exist. They do exist; they are realities. Nor, when he has drawn up an ideal plan of organization, is it likely that he will be able to fit in all the existing human material perfectly. There will be small adjustments of the job to the man in all kinds of directions. But those adjustments are deliberate and temporary deviations

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[14] *Ibid.*, pp. 36-39; quoted by permission of Harper & Brothers.

[15] Cited in Harold Koontz and Cyril O'Donnell, *Principles of Management* (New York, 1955), p. 24.

[16] Conrad M. Arensberg and Douglas McGregor, Determination of Morale in an Industrial Company, *Applied Anthropology*, 1 (Jan.-March 1942), 12-34.

[17] Ralph M. Stogdill and Katheleen Koehler, *Measures of Leadership Structure and Organization Change* (Columbus, O., 1952).

> from the pattern in order to deal with idiosyncrasy. There is a world of difference between such modification and drifting into an unworkable organization because Green has a fancy for combining bits of two incompatible functions, or White is "empire-building"...or Black has always looked after the canteen, so when he is promoted to Sales Manager, he might as well continue to sell buns internally, though the main product of the business happens to be battleships.
>
> What is suggested is that problems of organization should be handled *in the right order.* Personal adjustments must be made, insofar as they are necessary. But fewer of them will be necessary and they will present fewer deviations from what is logical and simple, if the organizer first makes a plan, a design—to which he would work if he had the ideal human material. He should expect to be driven from it here and there. But he will be driven from it far less and his machine will work much more smoothly if he *starts* with a plan. If he starts with a motley collection of human oddities and tries to organize to fit them all in, thinking first of their various shapes and sizes and colors, he may have a patchwork quilt; he will not have an organization.[18]

The majority of experts on formal organization agree with Urwick. Most of them emphasize that no organizational structure will be ideal. None will exemplify the maximum expression of the principles of formal organization. A satisfactory aspiration is for optimum expression, which means modifying the ideal structure to take into account the individual (and any environmental) conditions. Moreover, they urge that the people must be loyal to the formal structure if it is to work effectively. Thus Taylor emphasizes that scientific management would never succeed without a "mental revolution."[19] Fayol has the same problem in mind when he emphasizes the importance of *esprit de corps.*

It is also true, however, that these experts have provided little insight into *why* they believe that people should undergo a "mental revolution," or why an *esprit de corps* is necessary if the principles are to succeed. The only hints found in the literature are that resistance to scientific management occurs because human beings "are what they are" or "because it's human nature." But *why* does "human nature" resist formal organizational principles? Perhaps there is something inherent in the principles which causes human resistance. Unfortunately too little research specifically assesses the impact of formal organizational principles upon human beings.

Another argument for planning offered by the formal organizational experts is that the organization created by logical, rational design, in the long run, is more human than one created haphazardly. They argue that it is illogical, cruel, wasteful, and inefficient not to have a logical design. It is illogical because design must come first. It does not make sense to pay a large salary to an individual without clearly defining his position and its relationship to the whole. It is cruel because, in the long run, the participants suffer when no clear organizational structure exists. It is wasteful because, unless jobs are clearly predefined, it is impossible to plan logical training, promotion, resigning, and retiring policies. It is inefficient because the organization becomes dependent upon personalities. The personal touch leads to playing politics, which Mary Follett has described as a "deplorable form of coercion."[20]

Unfortunately, the validity of these arguments tends to be obscured in the eyes of the behavioral scientist because they imply that the only choice left, if the formal, rational, predesigned structure is not accepted, is to have no organizational structure at all, with the organizational structure left to the whims, pushes, and pulls of human beings. Some human-relations researchers, on the other hand, have unfortunately given the impression that formal structures are "bad" and that the needs of the individual participants should be paramount in creating and administering an organization. A recent analysis of the existing research, however, points up quite clearly that the importance of the organization is being recognized by those who in the past have focused largely upon the individual.[21]

In the past, and for the most part in the present, the traditional organizational experts based their "human architectural creation" upon certain basic principles or assumptions about the nature of organization. These principles have been described by such people as Urwick,[22] Mooney, Holden *et al.,* Fayol, Dennison, Brown,

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[18] *Ibid.,* pp. 36-39; quoted by permission of Harper & Brothers.

[19] For a provocative discussion of Taylor's philosophy, see Reinhard Bendix, *Work and Authority in Industry* (New York, 1956), pp. 274-319.

[20] Quoted in *ibid.,* pp. 36-39.

[21] Chris Argyris, *The Present State of Research in Human Relations* (New Haven, 1954), ch. I.

[22] Urwick, *op. cit.*

Gulick, White, Gaus, Stene, Hopf, and Taylor. Although these principles have been attacked by behavioral scientists, the assumption is made in this paper that to date no one has defined a more useful set of formal organization principles. Therefore the principles are accepted as givens. This frees us to inquire about their probable impact upon people, *if they are used as defined*.

Task (Work) Specialization

As James J. Gillespie suggests, the roots of these principles of organization may be traced back to certain principles of industrial economics, the most important of which is the basic economic assumption held by builders of the industrial revolution that "the concentration of effort on a limited field of endeavor increases quality and quantity of output."[23] It follows from the above that the necessity for specialization should increase as the quantity of similar things to be done increases.

If concentrating effort on a limited field of endeavor increases the quality and quantity of output, it follows that organizational and administrative efficiency is increased by the specialization of tasks assigned to the participants of the organization.[24] Inherent in this assumption are three others. The first is that the human personality will behave more efficiently as the task that it is to perform becomes specialized. Second is the assumption that there can be found a one best way to define the job so that it is performed at greater speed.[25] Third is the assumption that any individual differences in the human personality may be ignored by transferring more skill and thought to machines.[26]

A number of difficulties arise concerning these assumptions when the properties of the human personality are recalled. First, the human personality we have seen is always attempting to actualize its unique organization of parts resulting from a continuous, emotionally laden, ego-involving process of growth. It is difficult, if not impossible, to assume that this process can be choked off and the resultant unique differences of individuals ignored. This is tantamount to saying that self-actualization can be ignored. The second difficulty is that task specialization requires the individual to use only a few of his abilities. Moreover, as specialization increases, the less complex motor abilities are used more frequently. These, research suggests, tend to be of lesser psychological importance to the individual. Thus the principle violates two basic givens of the healthy adult human personality. It inhibits self-actualization and provides expression for few, shallow, superficial abilities that do not provide the "endless challenge" desired by the healthy personality.

Harold L. Wilensky and Charles N. Lebeaux correctly point out that task specialization causes what little skill is left in a job to become very important.[27] Now small differences in ability may make enormous differences in output. Thus two machine-shovel operators or two drill-press operators of different degrees of skill can produce dramatically different outputs. Ironically, the increasing importance of this type of skill for the healthy, mature worker means that he should feel he is performing self-satisfying work while using a small number of psychologically unchallenging abilities, when in actuality he may be predisposed to feel otherwise. Task specialization, therefore, requires a healthy adult to behave in a less mature manner, but it also requires that he feel good about it!

Not only is the individual affected, but the social structure as well is modified as a result of the situation described above. Wilensky and Lebeaux, in the same analysis, point out that placing a great emphasis on ability makes "Who you are" become less important that "What you can do." Thus the culture begins to reward relatively superficial, materialistic characteristics.

Chain of Command

The principle of task specialization creates an aggregate of parts, each performing a highly specialized task. An aggregate of parts, each busily performing its particular objective, does not form an organization, however. A pattern of parts must be formed so that the interrelationships among the parts create the organization.

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[23] James J. Gillespie, *Free Expression in Industry* (London, 1948), pp. 34–37.

[24] Herbert A. Simon, *Administrative Behavior* (New York, 1947), pp. 80–81.

[25] For an interesting discussion see Georges Friedman, *Industrial Society* (Glencoe, Ill., 1955), pp. 54 ff.

[26] *Ibid.*, p. 20. Friedman reports that 79 per cent of Ford employees had jobs for which they could be trained in one week.

[27] Harold L. Wilensky and Charles N. Lebeaux, *Industrialization and Social Welfare* (New York, 1955), p. 43.

Following the logic of specialization, the planners create a new function (leadership) the primary responsibility of which is to control, direct, and coordinate the interrelationships of the parts and to make certain that each part performs its objective adequately. Thus the planner makes the assumption that administrative and organizational efficiency is increased by arranging the parts in a determinate hierarchy of authority in which the part on top can direct and control the part on the bottom.

If the parts being considered are individuals, then they must be motivated to accept direction, control, and coordination of their behavior. The leader, therefore, is assigned formal power to hire, discharge, reward, and penalize the individuals in order to mold their behavior in the pattern of the organization's objectives.

The impact of such a state of affairs is to make the individuals dependent upon, passive, and subordinate to the leader. As a result, the individuals have little control over their working environment. At the same time their time perspective is shortened because they do not control the information necessary to predict their futures. These requirements of formal organization act to inhibit four of the growth trends of the personality, because to be passive, subordinate, and to have little control and a short time perspective exemplify in adults the dimensions of immaturity, not adulthood.

The planners of formal organization suggest three basic ways to minimize this admittedly difficult position. First, ample rewards should be given to those who perform well and who do not permit their dependence, subordination, passivity, and so forth to influence them in a negative manner. The rewards should be material and psychological. Because of the specialized nature of the worker's job, however, few psychological rewards are possible. It becomes important, therefore, that adequate material rewards are made available to the productive employee. This practice can lead to new difficulties, since the solution is, by its nature, not to do anything about the on-the-job situation (which is what is causing the difficulties) but to pay the individual for the dissatisfactions he experiences. The result is that the employee is paid for his dissatisfaction while at work and his wages are given to him to gain satisfactions outside his work environment.

Thus the management helps to create a psychological set which leads the employees to feel that basic causes of dissatisfaction are built into industrial life, that the rewards they receive are wages for dissatisfaction, and that if satisfaction is to be gained the employee must seek it outside the organization.

To make matters more difficult, there are three assumptions inherent in the above solution that also violate the basic givens of human personality. First, the solution assumes that a whole human being can split his personality so that he will feel satisfied in knowing that the wages for his dissatisfaction will buy him satisfaction outside the plant. Second, it assumes that the employee is primarily interested in maximizing his economic gains. Third, it assumes that the employee is best rewarded as an individual producer. The work group in which he belongs is not viewed as a relevant factor. If he produces well, he should be rewarded. If he does not, he should be penalized even though he may be restricting production because of informal group sanctions.

The second solution suggested by the planners of formal organization is to have technically competent, objective, rational, loyal leaders. The assumption is made that if the leaders are technically competent presumably they cannot have "the wool pulled over their eyes" and that therefore the employees will have a high respect for them. The leaders should be objective and rational and personify the rationality inherent in the formal structure. Being rational means that they must avoid becoming emotionally involved. As one executive states, "We try to keep our personality out of the job." The leader must also be impartial; he must not permit his feelings to operate when he is evaluating others. Finally, the leader must be loyal to the organization so that he can inculcate the loyalty in the employees that Taylor, Fayol, and others believe is so important.

Admirable as this solution may be, it also violates several of the basic properties of personality. If the employees are to respect an individual for what he does rather than for who he is, the sense of integrity based upon evaluation of the total self which is developed in people is lost. Moreover, to ask the leader to keep his personality out of his job is to ask him to stop actualizing himself. This is not possible as long as he is alive. Of course, the executive may want to feel that he is not involved, but it is a basic given that the human personality is an organism always actualizing itself. The same problem arises with impartiality. No one can be completely impartial. As has been shown, the self concept always operates when we are making judgments. In fact, as Rollo May has pointed out, the best way to be impartial is to be as partial as one's needs predispose one to be but to be aware of this partiality in order to correct for it at the moment of decision.[28] Finally, if a leader can be loyal to an organization under these conditions, there may be adequate grounds for questioning the health of his personality make-up.

The third solution suggested by many adherents to formal organizational principles is to motivate the subordinates to have more initiative and to be more creative by placing them in competition with one another for the positions of power that lie above them in the organizational ladder. This solution is traditionally called "the rabble hypothesis." Acting under the assumption that employees will be motivated to advance upward, the adherents of formal organizations further assume that competition for the increasingly (as one goes up the ladder) scarcer positions will increase the effectiveness of the participants. D. C. S. Williams, conducting some controlled experiments, shows that the latter assumption is not necessarily valid. People placed in competitive situations are not necessarily better learners than those placed in noncompetitive situations.[29] M. Deutsch, as a result of extensive controlled experimental research, supports Williams' results and goes much further to suggest that competitive situations tend to lead to an increase in tension and conflict and a decrease in human effectiveness.[30]

Unity of Direction ✓

If the tasks of everyone in a unit are specialized, then it follows that the objective or purpose of the unit must be specialized. The principle of unity of direction states that organizational efficiency increases if each unit has a single activity (or homogeneous set of activities) that are planned and directed by the leader.[31]

This means that the goal toward which the employees are working, the path toward the goal, and the strength of the barriers they must overcome to achieve the goal are defined and controlled by the leader. Assuming that the work goals do not involve the egos of the employees, (i.e., they are related to peripheral, superficial needs), then ideal conditions for psychological failure have been created. The reader may recall that a basic given of a healthy personality is the aspiration for psychological success. Psychological success is achieved when each individual is able to define his own goals, in relation to his inner needs and the strength of the barriers to be overcome in order to reach these goals. Repetitive as it may sound, it is nevertheless true that the principle of unity of direction also violates a basic given of personality.

Span of Control

The principle of span of control[32] states that administrative efficiency is increased by limiting the span of control of a leader to no more than five or six subordinates whose work interlocks.[33]

It is interesting to note that Ernest Dale, in an extensive study of organizational principles and practices in one hundred large organizations, concludes that the actual limits of the executive span of control are more often violated than not,[34] while in a recent study James H. Healey arrives at the opposite conclusion.[34] James C. Worthy reports that it is formal policy in his organization to extend the span of control of the top management much further than is theoretically suggested.[35] Finally, W. W. Suojanen, in a review of the current literature on the concept of span of control, concludes that it is no longer valid, particularly as applied to the larger government agencies and business corporations.[37]

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[28] Rollo May, "Historical and Philosophical Presuppositions for Understanding Therapy," in O. H. Mowrer, *Psychotherapy Theory and Research* (New York, 1953), pp. 38–39.

[29] D. C. S. Williams, Effects of Competition between Groups in a Training Situation, *Occupational Psychology*, 30 (April 1956), 85–93.

[30] M. Deutsch, An Experimental Study of the Effects of Cooperation and Competition upon Group Process, *Human Relations*, 2 (1949), 199–231.

[31] The sacredness of these principles is questioned by a recent study. Gunnar Heckscher concludes that the principles of unity of command and unity of direction are formally violated in Sweden: "A fundamental principle of public administration in Sweden is the duty of all public agencies to cooperate directly without necessarily passing through a common superior. This principle is even embodied in the constitution itself, and in actual fact it is being employed daily. It is traditionally one of the most important characteristics of Swedish administration that especially central agencies, but also central and local agencies of different levels, cooperate freely and that this is being regarded as a perfectly normal procedure" (*Swedish Public Administration at Work* [Stockholm, 1955], p. 12).

[32] First defined by V. A. Graicunas in an article entitled "Relationship in Organization," in L. Gulick and L. Urwick, eds., *Papers on the Science of Administration*, 2d ed. (New York, 1947), pp. 183–187.

[33] L. Urwick, *Scientific Principles and Organization* (New York, 1938), p. 8.

[34] Ernest Dale, *Planning and Developing the Company Organization Structure* (New York, 1952), ch. xx.

In a recent article, however, Urwick criticizes the critics of the span-of-control principle.[38] For example, he notes that in the case described by Worthy, the superior has a large span of control over subordinates whose jobs do not interlock. The buyers in Worthy's organization purchase a clearly defined range of articles; therefore they find no reason to interlock with others.

Simon criticizes the span-of-control principle on the grounds that it increases the "administrative distance" between individuals. An increase in administrative distance violates, in turn, another formal organizational principle that administrative efficiency is enhanced by keeping at a minimum the number of organizational levels through which a matter must pass before it is acted on.[39] Span of control, continues Simon, inevitably increases red tape, since each contact between agents must be carried upward until a common superior is found. Needless waste of time and energy result. Also, since the solution of the problem depends upon the superior, the subordinate is in a position of having less control over his own work situation. This places the subordinate in a work situation in which he is less mature.

Although the distance between individuals in different units increases (because they have to find a common superior), the administrative distance between superior and subordinate within a given unit decreases. As Whyte correctly points out, the principle of span

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[34] James H. Healey, Coordination and Control of Executive Functions, *Personnel,* 33 (Sept. 1956), 106–117.

[35] James C. Worthy, Organizational Structure and Employee Morale, *American Sociological Review,* 15 (April 1950), 169–179.

[36] W. W. Suojanen, The Span of Control—Fact or Fable?, *Advanced Management,* 20 (1955) 5–13.

[37] L. Urwick, The Manager's Span of Control, *Harvard Business Review,* 34 (May-June 1956), 39–47.

[38] Simon, *op. cit.,* pp. 26–28.

of control, by keeping the number of subordinates at a minimum, places great emphasis on close supervision.[40] Close supervision leads the subordinates to become dependent upon, passive toward, and subordinate to, the leader. Close supervision also tends to place the control in the superior. Thus we must conclude that span of control, if used correctly, will tend to increase the subordinate's feelings of dependence, submissiveness, passivity, and so on. In short, it will tend to create a work situation which requires immature, rather than mature, participants.

AN INCONGRUENCY BETWEEN THE NEEDS OF A MATURE PERSONALITY AND OF FORMAL ORGANIZATION

Bringing together the evidence regarding the impact of formal organizational principles upon the individual, we must conclude that there are some basic incongruencies between the growth trends of a healthy personality in our culture and the requirements of formal organization. If the principles of formal organization are used as ideally defined, then the employees will tend to work in an environment where (1) they are provided minimal control over their work-a-day world, (2) they are expected to be passive, dependent, subordinate, (3) they are expected to have a short-time perspective, (4) they are induced to perfect and value the frequent use of a few superficial abilities, and (5) they are expected to produce under conditions leading to psychological failure.

All of these characteristics are incongruent to the ones healthy human beings are postulated to desire. They are much more congruent with the needs of infants in our culture. In effect, therefore, formal organizations are willing to pay high wages and provide adequate seniority if mature adults will, for eight hours a day, behave in a less mature manner. If this analysis is correct, this inevitable incongruency increases (1) as the employees are of increasing maturity, (2) as the formal structure (based upon the above principles) is made more clear-cut and logically tight for maximum formal organizational effectiveness, (3) as one goes down the line of command, and (4) as the jobs become more and more mechanized (i.e., take on assembly-line characteristics).

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[40] William Whyte, "On the Evolution of Industrial Sociology" (mimeographed paper presented at the 1956 meeting of the American Sociological Society).

As in the case of the personality developmental trends, this picture of formal organization is also a model. Clearly, no company actually uses the formal principles of organization exactly as stated by their creators. There is ample evidence to suggest that they are being modified constantly in actual situations. Those who expound these principles, however, probably would be willing to defend their position that this is the reason that human-relations problems exist; the principles are not followed as they should be.

In the model of the personality and the formal organization, we are assuming the extreme of each in order that the analysis and its results can be highlighted. Speaking in terms of extremes helps us to make the position sharper. In doing this, we make no assumption that all situations in real life are extreme (i.e., that the individuals will always want to be more mature and that the formal organization will always tend to make people more dependent, passive, and so forth, all the time).[41] The model ought to be useful, however, to plot the degree to which each component tends toward extremes and then to predict the problems that will tend to arise.

Returning to the analysis, it is not difficult to see why some students of organization suggest that immature and even mentally retarded individuals probably would make excellent employees in certain jobs. There is very little documented experience to support such a hypothesis. One reason for this lack of information is probably the delicacy of the subject. Examples of what might be obtained if a systematic study were made may be found in a recent work by Mal Brennan.[42] He cites the Utica Knitting Mill, which made arrangements during 1917 with the Rome Institution for Mentally Defective Girls to employ twenty-four girls whose mental age ranged from six to ten years of age. The girls were such excellent workers that they were employed after the war emergency ended. In fact, the company added forty more in another of their plants. It is interesting to note that the managers praised the subnormal girls highly. According to Brennan, in several important reports they said that

> when business conditions required a reduction of the working staff, the hostel girls were never "laid off" in disproportion to the normal girls; that they were more punctual, more regular in their habits, and did not indulge in as much "gossip and levity." They received the same rate of pay, and they had been employed successfully at almost every process carried out in the workshops.

In another experiment reported by Brennan, the Works Manager of the Radio Corporation, Ltd., reported that of five young morons employed, "the three girls compared very favourably with the normal class of employee in that age group. The boy employed in the store performed his work with satisfaction. . . . Although there was some doubt about the fifth child, it was felt that getting the most out of him was just a matter of right placement." In each of the five cases, the morons were reported to be quiet, respectful, well behaved, and very obedient. The Works Manager was especially impressed by their truthfulness. A year later the same Works Manager was still able to advise that "in every case, the girls proved to be exceptionally well-behaved, particularly obedient, and strictly honest and trustworthy. They carried out work required of them to such a degree of efficiency that *we were surprised they were classed as subnormals for their age.*"[43]

SUMMARY OF FINDINGS

If one were to put these basic findings in terms of propositions, one could state:

> **Proposition I.** *There Is a Lack of Congruency between the Needs of Healthy Individuals and the Demands of the Formal Organization.*

If one uses the traditional formal principles of organization (i.e., chain of command, task specialization, and so on) to create a social organization, and

if one uses as an input agents who tend toward mature psychological development (i.e., who are predisposed toward relative independence, activeness, use of important abilities, and so on),

then one creates a disturbance, because the needs of healthy individuals listed above are not congruent with the requirements of formal organization, which tends to require the agents to work in situations where they are dependent, passive, use few and unimportant abilities, and so forth.

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[41] In fact, much evidence is presented in the book from which this article is drawn to support contrary tendencies.

[42] Mal Brennan, *The Making of a Moron* (New York, 1953), pp. 13–18.

[43] Mr. Brennan's emphasis.

Corollary 1. The disturbance will vary in proportion to the degree of incongruency between the needs of the individuals and the requirements of the formal organization.[44]

An administrator, therefore, is always faced with a tendency toward continual disturbance inherent in the work situation of the individuals over whom he is in charge.

Drawing on the existing knowledge of the human personality, a second proposition can be stated.

PROPOSITION II. *The Results of This Disturbance Are Frustration, Failure, Short-Time Perspective, and Conflict.*[45]

If the agents are predisposed to a healthy, mature self-actualization, the following results will occur:

(1) They will tend to experience frustration because their self-actualization will be blocked.

(2) They will tend to experience failure because they will not be permitted to define their own goals in relation to their central needs, the paths to these goals, and so on.

(3) They will tend to experience short-time perspective, because they have no control over the clarity and stability of their future.

(4) They will tend to experience conflict, because, as healthy agents, they will dislike the frustration, failure, and short-time perspective which is characteristic of their present jobs. If they leave, however, they may not find new jobs easily, and even if new jobs are found, they may not be much different.[46]

Based upon the analysis of the nature of formal organization, one may state a third proposition.

PROPOSITION III. *The Nature of the Formal Principles of Organization Cause the Subordinate, at Any Given Level, to Experience Competition, Rivalry, Intersubordinate Hostility, and to Develop a Focus toward the Parts Rather than the Whole.*

(1) Because of the degree of dependence, subordination, and so on of the subordinates upon the leader, and because the number of positions above any given level always tends to decrease, the subordinates aspiring to perform effectively and to advance will tend to find themselves in competition with, and receiving hostility from, each other.[47]

(2) Because, according to the formal principles, the subordinate is directed toward and rewarded for performing his own task well, the subordinate tends to develop an orientation toward his own particular part rather than toward the whole.

(3) This part-orientation increases the need for the leader to coordinate the activity among the parts in order to maintain the whole. This need for the leader, in turn, increases the subordinates' degree of dependence, subordination, and so forth. This is a circular process whose impact is to maintain and/or increase the degree of dependence, subordination, and so on, as well as to stimulate rivalry and competition for the leader's favor.

A BIRD'S-EYE, CURSORY PICTURE OF SOME OTHER RELATED FINDINGS

It is impossible in the short space available to present all of the results obtained from the analysis of the literature. For example, it can be shown that employees tend to adapt to the frustration, failure, short-time perspective, and conflict involved in their work situations by any one or a combination of the following acts:

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[44] This proposition does not hold under certain conditions.

[45] In the full analysis, specific conditions are derived under which the basic incongruency increases or decreases.

[46] These points are taken, in order, from: Roger G. Barker, T. Dembo, and K. Lewin, "Frustration and Regression: An Experiment with Young Children," *Studies in Child Welfare*, vol. XVIII, No. 2 (Iowa City, Ia., 1941); John Dollard *et al.*, *Frustration and Aggression* (New Haven, 1939); Kurt Lewin *et al.*, "Level of Aspiration," in J. McV. Hunt, ed., *Personality and the Behavior Disorders* (New York, 1944), pp. 333-378; Ronald Lippitt and Leland Bradford, Employee Success in Work Groups, *Personnel Administration*, 8 (Dec. 1945), 6-10; Kurt Lewin, "Time Perspective and Morale," in Gertrud Weiss Lewin, ed., *Resolving Social Conflicts* (New York, 1948), pp. 103-124; and Theodore M. Newcomb, *Social Psychology* (New York, 1950), pp. 361-373.

[47] These problems may not arise for the subordinate who becomes apathetic, disinterested, and so on.

(1) Leaving the organization.

(2) Climbing the organizational ladder.

(3) Manifesting defense reactions such as daydreaming, aggression, ambivalence, regression, projection, and so forth.

(4) Becoming apathetic and disinterested toward the organization, its make-up, and its goals. This leads to such phenomena as: (a) employees reducing the number and potency of the needs they expect to fulfill while at work; (b) employees goldbricking, setting rates, restricting quotas, making errors, cheating, slowing down, and so on.

(5) Creating informal groups to sanction the defense reactions and the apathy, disinterest, and lack of self-involvement.

(6) Formalizing the informal group.

(7) Evolving group norms that perpetuate the behavior outlined in (3), (4), (5), and (6) above.

(8) Evolving a psychological set in which human or nonmaterial factors become increasingly unimportant while material factors become increasingly important.

(9) Acculturating youth to accept the norms outlined in (7) and (8).

Furthermore, it can also be shown that many managements tend to respond to the employees' behavior by:

(1) Increasing the degree of their pressure-oriented leadership.

(2) Increasing the degree of their use of management controls.

(3) Increasing the number of "pseudo"-participation and communication programs.

These three reactions by management actually compound the dependence, subordination, and so on that the employees experience, which in turn cause the employees to increase their adaptive behavior, the very behavior management desired to curtail in the first place.

Is there a way out of this circular process? The basic problem is the reduction in the degree of dependency, subordination, submissiveness, and so on experienced by the employee in his work situation. It can be shown that job enlargement and employee-centered (or democratic or participative) leadership are elements which, if used correctly, can go a long way toward ameliorating the situation. These are limited, however, because their success depends upon having employees who are ego-involved and highly interested in the organization. This dilemma between individual needs and organization demands is a basic, continual problem posing an eternal challenge to the leader. How is it possible to create an organization in which the individuals may obtain optimum expression and, simultaneously, in which the organization itself may obtain optimum satisfaction of its demands? Here lies a fertile field for future research in organizational behavior.

Although there are no magic rules that management can use to motivate employees, participative management can be, in the long run, a method for motivating employees to increase output.

William A. Preshing, "Participative Management Motivates," *Journal of Systems Management*, 23:28-31, March 1972. Reprinted by permission of the Association for Systems Management.

PARTICIPATIVE MANAGEMENT MOTIVATES

By DR. WILLIAM A. PRESHING

■ Motivation is a complex problem for most managers. There are so many variables of both people and places, and managers too often fail to realize that a particular environment has an impact on what motivates people. Pressure situations, for example, can be used to motivate individuals, but if the pressure situation becomes the norm, people cannot, and will not, react to the same extent. The student writing a final exam will be motivated to study; writing a never-ending series of final exams will have a diminishing effect on the motivation of the individual.

Another major variable is the relative degree of freedom which an employee has within a particular situation. It could be argued that this is environmental, but a major dimension here is the environment as created by a supervisor. In large part, this environment is established by the attitude of the boss since the type of organizational environment engendered is a reflection of the boss himself. The reality of motivation is complex, and doesn't lend itself to any magic or easy answers. Coupled with these external variables are the internal variables. People change over time, and thus, the motivational factors change over time.

There are no magic sets of rules to motivate individuals, nor magic buttons to push to motivate individuals to work at particular tasks. It could, therefore, be argued that the behavioral scientist's attempt to measure motivation and its underlying forces are doomed to failure since there are so many variables, and that the theories put forward by students of motivation are useless. But, everyone works with theory, if one defines theory as a form of generalization. Of necessity, we make generalizations about groups of people since, psychologically, this makes it easier for us to react. We look at a particular individual and mentally anticipate that he will react in a particular way since he is 5'11", weighs 180 pounds, smokes cigars, is a Rotarian, and wears white shirts. Subconsciously, we think he will react in a particular way within a particular set of circumstances. We, therefore, make assumptions (based on theories or generalizations) about what motivates people.

Motivational Theorists

The late Douglas McGregor's *The Human Side of Enterprise*, McGraw-Hill (1960), is probably the most widely-read book in its field in this century. McGregor, a psychologist, college president and management professor at MIT, described two sets of contrasting "assumptions" about man and his relation to work: "Theory X" (men are willful, lazy, capricious and in need of constant watching), and "Theory Y" (men like work, seek responsibility, and are capable of self-control). The latter theory, McGregor argued, more nearly corresponded to the evidence derived from research into human capability. Before his death in 1964, McGregor felt that Theory Y was commonly mistaken to mean "soft" management, when in fact he believed that high management standards and goals were implicit within the theory.

Theory X is McGregor's description of the set of assumptions with which management has, in his words, "traditionally" viewed its employees. A Theory X manager will control people by an elaborate system of rules, punishment, and the use of authority. A Theory Y manager will establish meaningful objectives to which individuals are committed and thereby motivated. Not every manager will be completely Theory X or Theory Y. There will be variation in reference to time. However, most managers will tend to be more heavily oriented toward Theory X since these assumptions constitute a model that many have been used to at home, school, and work.

McGregor's concepts have been questioned. For

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one, it is argued that Theory X and Theory Y may have validity at senior executive levels, but not at lower levels. The "widening" of jobs, for example, can take place at more senior levels. It is argued that this is difficult to do with routine, repetitive types of jobs where there can be little in the way of intrinsic challenge and demand. And this criticism, unfortunately, is all too true.

Not all people can be motivated to do all jobs. There are many jobs which, in and of themselves, simply cannot be made vital and challenging. In one company, the senior management had to structure a management development program for first line supervisors at the foremen level. In discussing motivational concepts, it was discovered that both the supervisors' subordinates, and the supervisors themselves had jobs that were so narrow and restricted that the capability to motivate was almost nonexistent.

It was concluded that the individuals were becoming more Theory X oriented since the jobs themselves were creating a sterile and non-demanding environment. The development program enjoyed limited success, which was brought about largely by making changes in job structures, positions, and titles in order to make the job more comprehensive and challenging. But, in general, the situation has not changed much. The motivational factors are largely, of necessity, based on a reward and punishment philosophy.

Hygiene Factors

⑭ Frederick Herzberg in *Work and the Nature of Man*, World, (1966), confirmed and elaborated upon his earlier Motivation-Hygiene theory. Fringe benefits, working conditions, etc., are "hygiene factors," essential but not motivating. Responsibility, achievement, recognition and growth opportunities are the factors which motivate people to perform better. The hygiene factors prevent job dissatisfaction, but do not provide motivation.

The most important point about hygiene factors is that their absence, or abuse, will create dissatisfaction. Hygienic Management, as it has been dubbed, will be characterized by such things as high wages, fringe benefits, and good working conditions in the hope that these factors will create good morale which will result in higher production. Herzberg argues that these hygiene factors are not that important since all the employees obtain the same benefits without recognition for extraordinary effort or production.

Herzberg then develops a set of motivational factors such as achievement and recognition. Of importance is that these motivational factors (or satisfiers as they are also known) refer to the job itself. Hygienic factors, on the other hand, relate to the context or environment surrounding the job. Good hygienic factors create a sterile, noninvolved attitude which prevents trouble, but fails to engender enthusiasm or creativity. Herzberg's work has been criticized on much the same grounds as have most motivational theorists. It is difficult to build motivators into jobs which consist of routine and repetitive work and which fail to elicit any real thought processes.

However, it should be noted that there are two further important facets brought out by Herzberg's work. For one, a crucial decision in a work process is that of time. But, people will be prepared to accept a boring and routine job if it is needed and if it *ultimately ends*. All too often we tend to overlook the repetitive nature of many jobs including those done by senior executives.

Secondly, there is a need to be fully aware of the real meaning of words like recognition. Unfortunately, in far too many cases a manager will jump on a bandwagon and not really appreciate the demands which a concept such as recognition creates. Thus, much of the failure of the so-called "human relations" school can be traced back to a misunderstanding of what was actually implied. Recognition, for example, must be recognition of true and real accomplishment. A phoney, backslapping, toothy form of "How're you today, George?" is not really recognition. Far too often managers tend to equate motivation with techniques. However, phoniness is generally detected by the recipient. The manager must believe in what he is doing since role-playing is artificial.

Maslow's Hierarchy

Abraham Maslow, unlike the others, did not base his major work on studies of business organizations. A theoretical psychologist, he described in *Motivation and Personality*, Harper and Row, (1954), a "need hierarchy," suggesting that motivation proceeds up a ladder of human need. He suggested that "a satisfied need is not a motivator," and that people do their best only in situations offering more than good pay and benefits—a chance for growth and involvement. His theory is that man moves from physiological needs to safety needs to belonging needs to esteem needs to self-actualization needs. As soon as one order of needs is satisfied, the next order appears.

One of the most difficult aspects of human motivation for the practical manager to grasp is the idea that a satiated need no longer acts as a motivator of human behavior. In its simplest form, this means that a man whose hunger is satisfied is no longer motivated by the need for food. Most individual employees in industry enjoy at least a minimum satisfaction of their physiological and safety needs. Also, management is much more conscious of human values. Most employee groups are now relatively free from arbitrary management action which would deprive them of the satisfaction of their basic needs.

The critical point is that management techniques characterized by rewards, promises, incentives (in the normal sense), and threats are no longer useful devices for motivating behavior. These devices all are based on the assumption that the group being supervised is still thriving to satisfy their basic needs.

Those concerned with problems of human motiva-

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tion should recognize that the hierarchy of needs is more complex than it first appears. For example, it is probable that the concept of safety needs is too narrow to be useful in industry. If we think of safety needs as being the desire to hold those things which one has acquired and to consolidate these gains so that they are free from arbitrary withdrawal or deprivation, the concept has greater significance. Safety needs repeat themselves after each step in the hierarchy of needs structure. After each series of gains, the individual turns his attention to the consolidation of those gains. He wants to make them secure. For example, once the individual establishes an effective relationship with others in his work group, his behavior is apt to be motivated towards maintaining that relationship. He will look upon changes in work assignments and routines as threatening his effective relationships with others, particularly if changes are brought about in an arbitrary or capricious manner.

In a similar way, the individual who has recently acquired considerable prestige or status goes through a period when many of his activities are motivated by a desire to consolidate his gains. The newly promoted executive is most apt to be conscious of rivals. Until he has had a chance to establish himself, he may be overly concerned with attempts to neutralize or eliminate those who threaten his position. In work groups, this process may be seen in the rejection of new members (employees) who may challenge or threaten the position of the established leaders. The concept of safety needs should be thought of as including these defensive activities. Broadened in this way, the concept has greater meaning for the manager.

One other matter requires close attention by those in management positions. It seems to follow that the higher the level of need, the greater is the vulnerability to non-satisfaction. The esteem needs and those associated with prestige, status, and self-fulfillment are in constant need of satisfaction. One can be deprived of satisfaction at these levels by the things that others do and say very rapidly. They are vulnerable to withdrawal because their satisfaction is dependent upon the reactions of those around the individual. A single dissatisfaction can shatter all previous satisfactions and place the individual in a threatened position. Each set-back at these higher levels makes the next step forward extremely difficult to accomplish and hold. The manager who fails to recognize good work, who withholds praise obviously due, and who carelessly violates symbols of status and position will continue to see his employees turn elsewhere for the satisfaction of their needs.

Model Systems

Rensis Likert showed that an organization is a complex system in which leadership, motivation, decision-making, communication and control tend to vary together. Likert maintains that these can be measured, and over a stretch of time, related closely to production and profit. He describes four organizational model systems:

Likert's "System 1" manager, a dictatorial type. He holds Theory X assumptions. His "System 4" manager, who seeks group consensus, would probably follow Theory Y. In *New Patterns of Management*, McGraw-Hill, (1961), and *The Human Organization*, McGraw-Hill, (1967), Likert suggested radical changes in structure, behavior, and the collection and use of management data by those who would tap the full potential of their employees. Likert's work is of extreme importance for another major reason. As a result of extensive studies and numerous field programs, he concludes that there are general patterns of management used by high-producing managers which are markedly different from those patterns of management used by low-producing managers. Of equal importance is the fact that Likert has carried out studies in a wide variety of functional management situations—sales, finance, etc.—and with both line and staff supervisors.

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Viewed briefly, the leadership process used varies with Likert's four systems. For example, the extent to which superiors have confidence and trust in their subordinates will be on a continuum. Under System 1, the superior will have no trust and confidence in subordinates. Under System 2, there will be a condescending trust much like a master-slave relationship. A System 3 manager will have substantial but not complete confidence in subordinates. A System 4 manager will place complete confidence and trust in his subordinates.

Likert points out that it takes time to implement a System 4 approach. His research shows that, initially, both Systems 1 and 4 can have a marked and appreciable effect. In one specific study, Likert found that the initial production results under a System 2 approach were much higher at both the initial and middle stages of development. A System 4 approach, however, showed no appreciable gains for approximately one year. The crucial feature of the studies was that the initial high end results in terms of productivity begin to diminish after approximately

18 months and become extremely poor at the end of three years. System 4 began to build at the end of the first year and stayed consistently high right to the end of the three-year period. In Likert's opinion, the causal variables require study, measurement, and development for a period of at least three to five years.

Likert concludes from extensive studies that there are marked differences in the patterns of management used by high-producing managers. The major differences are as follows:

1. A preponderance of favorable attitudes by each member towards all other members of the organization.
2. A high level of mutual confidence and trust.
3. Identification with the organization and involvement in the achievement of the goals of the organization.
4. Utilization of motives—ego, security, curiosity, and economic.
5. Tightly knit, effectively functional social systems.
6. Measurements of organizational performance are primarily used for self-guidance rather than super-imposed controls.

A further significant feature is that high-producing managers used the same technical resources as low-producing managers. While low-producing managers feel that the best way to motivate and direct behavior is to exercise control through authority, high-producing managers feel that direct authority limits its effectiveness. High-producing managers utilize the motivational forces which are mutually reinforcing. Economic goals, for example, are integrated with group goals in order to obtain full utilization of peoples' strengths.

Participative Management

The concept of participative management is also referred to as democratic management and, on occasion, as bottom-up management. While there are differences involved in the terminology, here it will be considered all-inclusive. Basically, participative management refers to the type of management that allows subordinates a degree of responsibility and authority through a process of consultation. Subordinates are involved in decisions being made at levels above them.

The work situation often limits the degree of participation. A business firm, which produces a highly standardized item, and has jobs broken into minute segments of a repetitive and routine nature, superficially allows for little participation. The very nature of the work does not demand complete attention and interest. However, there is an implicit fallacy here. Numerous studies have shown the imaginative employee's control over production. For example, employees find short-cuts in standard jobs operations and then keep this knowledge from management. How much better it would be to channel these abilities in the opposite and more positive direction.

Participative management is not a cure-all. It is a principle. To work, it must be a philosophy of management. To implement and stabilize this type of management is time consuming. It demands a completely new type of thinking and much patience on the part of the participants. An employee who has never been asked an opinion does not automatically develop the ability of being able to express an opinion.

Above all, top management must really want to use participative management, not merely as a device for manipulation and efficiency, but as an acceptable means of running their operation. The greatest single deterrent to the acceptance of participative management is the fear by managers and supervisors that they are losing some of their power and authority. Since the desire to retain power is so fundamental, a profound change must take place for participative management to be instituted.

Logically, the final and ultimate responsibility lies at the top, but there are serious implications for the total managerial structure. A human relations group at the University of California at Los Angeles has found that the degree of participation desired by supervisors has the greatest impact on the process. A leader who believes in sharing decision-making, who has confidence in his subordinates, will generally ask for and receive participation. The degree of participation can and should vary, depending on the complexity of the situation at any given moment, the element of uncertainty, and the maturity of the subordinates. The participative process must therefore be fluid.

Subordinate needs, desires and capabilities vary as well. Thus, the subordinate becomes involved in the participative process to various degrees. Some may not wish to become involved in a decision-making process. The subordinate who is fearful of making a decision and strongly dependent on authority, may view participative management as managerial weakness. The employee must feel that he is part of the process, and that the participative procedure has direct relevance to his own personal life. Most importantly, the subordinate must be able to communicate his needs and discuss his contribution. Failure to communicate the latter frustrates the participative procedure.

Conclusion

To change long-held attitudes and to adequately build an effective participative environment demands three important elements: time, education, and continuous follow-up. This is difficult and demanding, but participative management holds great promise for the future. It can assist in removing the dullness inherent in many routine jobs. It makes jobs more demanding and thus more satisfying and interesting to employees at all levels. Participative management provides the opportunity for an individual to grow, to develop, and to contribute his talents. •jsm

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Maurice P. Marchant

Participative Management in Libraries

Perhaps no other trait characterizes our age as much as anxiety and a feeling of helplessness. More than half the population of the United States have lived their entire lives under the shadow of the reality that, whatever their desires or whatever they might do, those things can be nullified by the simple act of a faceless somebody pushing a button.

But the present sense of helplessness is neither unique to this age nor specifically due to the imminence of uncontrolled events. It has its roots in the age-old argument over whether man is a free agent or whether his being and behavior have been predetermined by forces outside himself. The behavior we see today is primarily man's attempt to resist those forces and assert his capacity to structure his own future.

Joseph Satin claims that modern music and art forms first manifested the despair, violence, and depersonalization that characterize this "Age of Anxiety" and then portrayed the individual's reaction against them.[1] It has been man's reaction against a too heavily structured society that has popularized visceral rock and dissonance in music and art produced by throwing globs of paint on canvas or running over a wet canvas on a motor cycle. The renewed popularity of the guitar and banjo and the simple structure of folk songs which accompany them suggest the same reaction against heavy structure and a preference for simpler things that one can do without elaborate preparation.

On the level of man's relationship to his job, we see this same conflict emerging. Man is not satisfied to be simply the extension of someone else at the top of the hierarchy, and he is rebelling against the forces that attempt to make him something less than a whole person. The recognition of the effects of depersonalization has had a powerful influence on the development of modern organizational theories, one of which is participative management.

My research into the effects of participative management on university library performance, to be described later, serves to confirm the optimistic theory that what is good for librarians is good for patrons. Before going into it, I want to talk about the characteristics of participative management.

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Value of Consensus in Decision-making

The interaction between superiors and subordinates is quite different in participative and authoritarian organizations. In the classical bureaucracy, the interaction tends to be one to one with a clear-cut understanding of the hierarchical order and its implications as to role. Decisions are made at the top and communicated downward. The role of lower echelons is to put into operation those decisions and transmit feedback up the line for evaluation.

> Collection of control data and its analysis are required if the organization is to maintain a stance of efficiency and effectiveness. Frequently, however, the worker feels that the feedback will be used to evaluate him rather than the decision. As a consequence of the threat of punishment sometimes implied, the upward communication is often filtered and the boss is told only what the worker thinks he wants to hear rather than the truth.
>
> But research into organizational behavior on which participative management relies tends to identify operational difficulties at higher levels of the organization rather than at the level of the individual worker at the bottom of the ladder. Personnel problems that are found to be common among a staff are more likely to result from organizational or administrative failure at a higher level than from incompetence at the worker's level. For example, the subordinate tends to use the one-to-one relationship, which is characteristic of the authoritarian style, to his own purposes in competition with others in the organization. The sales manager attempts to encourage the boss to make production decisions which support the sales organization without considering the implications to production. The result can be an inefficient production system; but since that is not the sales manager's concern, he pushes only what will serve his vested interests. Therefore, the appropriate correction of malfunction in many cases is at the administrative level.[2]

Participative management requires group discussion, and each group should be small enough that all may take part. The group is concerned with those matters of mutual concern. Thus the boss would not discuss production with the sales manager without involving the production manager. The analysis of feedback is oriented around evaluation of the process and performance and is used for guidance and for coordinated problem-solving rather than for punitive purposes. To the extent reward is used, it functions to encourage cooperation directed at actualizing organization-wide goals and objectives.

In addition the members of the group are evaluated in terms of their cooperation in bringing about ends which support the entire group. Any ideas

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may be put forth but must run the gamut of group evaluation. When the ideas are finally approved, they belong to the group, not just to the instigator.

From the group is chosen one person to represent the group and its position in the next higher echelon. This person is called the linking pin. He may be the supervisor or he may be just one of the group. His responsibility is to represent the group's attitudes and to communicate in both directions. The linking pin is repeated for each hierarchical level.

The level at which decisions are made depends on whose work will be affected by those decisions and where the relevant information is most available. Generally, this means that decisions are pushed down the organizational level.

As a result, higher level personnel are freed from making operational decisions and can concern themselves with long-range planning and relationships outside the library, areas of concern which librarians admit should receive greater consideration but for which they claim they lack time. If top management allows lower-level personnel to take care of low level decisions, they should have the time for more important matters.

Leadership qualities under participative management are not the same as those appropriate in a bureaucracy. The need turns more toward the ability to get people to interact and focus that interaction on the subject at hand. The capacity to mediate is very important.

The quality of decisions thus made has two advantages over autocratic decisions. One is the commitment of the group toward them because of their involvement in the decision-making process. The other is the superiority of decisions made by groups over those made by individuals when the decisions are concerned with organizational behavior.

A summary of factors accounting for the superiority of decisions by groups over those made by individuals is as follows: (1) there is an increase in the cues available; (2) the immediacy of feedback regarding suggestions allows faster recognition of potential mistakes; (3) the expansiveness formulation of ~~ideas formulated by groups as compared~~ to ~~people acting separately~~ favors group decisions; (4) the increasing division of labor favors group decisions by utilizing to greater advantage the group's cumulative expertise; (5) there is less inhibition because of mitigation of personal responsibility for failure; (6) pooling ideas provides an opportunity for identifying and removing errors; and (7) if the group is composed of members from diverse parts of the organization who have not developed friendship patterns and the group retains its identity for only a short time period, the lack of identification of the members as a cohesive group enhances their ability to consider the problem objectively.

All of the foregoing factors are applicable to participative management, although the last one may hold true less frequently in most libraries, with their limited staff size, than in large organizations. The psychological commitment to one's own decisions is particularly important in unifying the staff's and the organization's objectives.

In summary, participative management requires and generates a high degree of mutual trust and confidence between superiors and subordinates. Communications move freely down, up, and with peers. Disagreements also are openly and candidly discussed when they occur. Decisions are made by those who are intimate with the problems and who are involved in the consequences of their decisions. As a result, the decision-making process contributes substantially to the motivation to implement the decisions. Goals are set and accepted by the group, as a result of which concern for performance is felt throughout the organization. Review and evaluation are carried out at all levels with their results utilized primarily for guidance and coordinated problem-solving rather than for punitive purposes.

Revising Management Theory

My research attempted to test this theory as it is applied to university libraries.[3] It would appear to me to be equally applicable to other libraries, but the results do not demonstrate this, since only university libraries were tested. Through multivariate statistical analysis, the relationships between participative management and a set of performance measurements appropriate to libraries were determined. The results were compared with a set of hypotheses based primarily on the generalized theory of participative management.

Let me first place academic library administration in a historical perspective. The systems approach to academic library administration might legitimately be considered to have started with the transferral of Justin Winsor from the Boston Public Library to Harvard College in 1877. Prior to that time, by and large, academic libraries were more the depositories of the symbols of culture than working tools. Winsor carried to his new position an orientation of service to students as well as faculty and the belief that a book's value was in its use more than in its existence. The elective system of curricular development, just then being implemented at Harvard by President Eliot, legitimatized Winsor's service concepts.

As the elective system spread to other colleges and universities, their academic libraries followed Winsor's model of service and, at the same time, grew in size and importance. Readings into the history of higher education at about the turn of the century indicate that educators were as impressed with the rapid growth of libraries then as they are today.[4] I think that the present character of library administration is partly a result of the accidental collision of library organizational needs in their formative years and the beginning of the classical theory of management, which developed during those same years. Libraries promptly embraced it and put it to work. It was to their credit that they recognized its strengths and utilized it – at that time. Likewise, the time may be past for its retention.

A frequent complaint of library administrators is that the new breed of librarians coming from library schools are not the same calibre of workers as those of the past, particularly those of the 1930s. They do not fault the qualifications of their subordinates. Educational requirements have increased and the schools claim to be more selective in admitting students and to have improved their educational processes. The problem resolves itself primarily around the matter of motivation. New librarians are able to do the work. When they don't do it, it is because they don't want to. Moreover, supervisors cannot drive them to it by closer supervision or threats. The problem is with the worker. But the remedy lies with the administrator and the style of management he structures within his library. Librarians *can* be motivated to hard and efficient work, but they cannot be driven to it nor are they simply for sale.

Classical management theory, often referred to as scientific management, perceived of the worker as essentially antagonistic to work but driven to it by the fear of hunger and the search for financial profit.[5] Newer theories direct attention toward other sources of motivation besides the economic. Maslow developed a hierarchy of motivations, at the bottom of which is the economic and at the top of which is self-actualization.[6]

Herzberg separates those forces into "hygiene" factors and motivational factors. The lack of hygiene factors, which he perceives as extrinsic to the job and including economic considerations, is thought to lead to dissatisfaction, but their availability will not result in true satisfaction. Motivators are thought to be intrinsic to the job, and their availability accounts for satisfaction. Responsibility, achievement, recognition, and growth opportunities are thought to motivate people to perform better and to lead to satisfaction.[7]

The Mayo studies conducted at the Western Electric Company's Hawthorne Works in Chicago from 1927 to 1932 first noted the failings of scientific management and oriented consideration toward social groups.[8] Its major findings and conclusions were: (1) The level of production is set by social norms, not by physiological capacities; (2) noneconomic rewards and sanctions significantly affect the behavior of the workers and largely limit the effect of economic incentive plans; (3) often workers do not act or react as individuals but as members of groups; (4) the function of leadership, both formal and informal, is important in setting and enforcing group norms; and (5) communication between ranks is an important factor in organizational behavior.

One of the most active groups involved in the study of organizational behavior has been the Institute of Social Research at the University of Michigan. Working with some of the concepts discussed above, its researchers have made numerous studies of organizational effectiveness and behavior. Out of these studies have emerged some generalized theories that are useful in improving organizations. One of these is Likert's theory of participative management.[9] While the research on which it was based was done largely in profit-making organizations, the nature of the findings appeared to be eminently applicable to libraries. For this reason I decided to test it with university libraries.

Staff Participation and Library Effectiveness

My research model tested the relationship between the extent of staff participation in the library's decision-making process and various measures of library performance. The model is shown in table 1.

TABLE 1 – Research Model

INDEPENDENT VARIABLES	PERFORMANCE MEASUREMENTS
1. Decision-making	Faculty evaluation
2. Organizational profile	Circulation
CONTROL VARIABLES	Long-range planning
1. Doctoral degrees granted	Uniformity of evaluation
2. Perquisites available to librarians	Staff satisfaction
3. Library expenditures	
4. Decentralization of collection	
5. Library autonomy	
6. Beginning librarian salary	
7. Staff size and composition	
8. Collection size and growth	
9. Staff breadth of education	
10. Service time	

A second independent variable, tested parallel with decision-making, is a generalized measurement of the participative nature of the library management. I call it the profile. Whereas the first independent variable dealt only with the decision-making process, the profile is the mean of eighteen variables dealing with seven organizational areas including (1) leadership, (2) motivation, (3) communication, (4) interaction-influence, (5) decision-

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making, (6) goal-setting, and (7) control. It has a very high correlation with decision-making (.97) and in some ways is a better measurement to work with because it had a more normal distribution in my library sample.

The performance measurements are: (1) faculty evaluation of eleven criteria of their library's characteristics; (2) circulation per faculty member and per student; (3) library development of long-range planning; (4) the extent to which the library staff is uniform in its evaluation of the importance and quality of various aspects of the library and the extent to which the staff, the library's top management, and the faculty are in agreement in evaluation of those aspects; (5) staff satisfaction with their jobs. The first two performance measurements are end products, the first qualitative and the second quantitative. The third measurement is concerned with the library's attempt to adapt to changing conditions and correct for maladjustment. The fourth and fifth are maintenance measurements, although the between-group sections of the fourth are related to the adaptive mechanism.

The extent to which staff members are in agreement among themselves and the staff agrees with top management is assumed to be a measure of their ability to influence each other through interaction. These are maintenance functions. The extent of uniformity of evaluation of faculty with staff and top management are also assumed to indicate the extent of influence the groups have exerted on each other. But, since the purpose of the library is to respond to the felt needs of its clientele and since faculty is an important clientele group, these uniformity measurements indicate the extent to which the library has adapted to its environment. The adaptation might indicate faculty influence over library personnel or library influence over faculty or, more likely, both influences operating together.

It was assumed that any relationship between the managerial style and organizational performance would be casual. The process affects the performance rather than the other way around. For this reason, decision-making and profile were considered independent variables and the performance measurements were dependent variables.

It is apparent, however, that other factors also affect performance and that their effect might well interfere with measuring the true relationships. It was therefore necessary to determine what these factors might be, measure them, and parcel out their effect. This was the reason for including the control variables. At the same time, however, their inclusion allowed for a certain amount of evaluation of the effect of forces other than managerial style.

Included in the study were twenty-two university libraries, all members of the Association of Research Libraries and containing collections ranging from about 500,000 to just over 2,000,000 volumes. Their administrations tended to measure just between authoritative and consultative with only one measuring participative. There is apparently substantial opportunity for change should library directors feel so inclined.

Also included in the study were the professional members of the library staff, the library's top management, and a sample of the faculty. Subprofessional personnel were not included.

The results were essentially as predicted, though not quite as strong in all areas as was hoped. Table 2 provides the partial correlations relating the independent and dependent variables. The relationships were significant with staff satisfaction, uniformity of staff evaluation of quality, and uniformity of evaluation between top management and faculty. There was a near significant relationship with uniformity of staff evaluation of importance and an indirect relationship through staff satisfaction to faculty evaluation. Moreover all of these relationships were in the predicted direction. Long-range planning was an exception. While the correlations related to it did not reach a significant level, they approached it from a direction opposite that predicted.

TABLE 2 – Partial Correlations between Managerial Style Variables and Performance Measurements

PERFORMANCE MEASUREMENTS	DECISION-MAKING	PROFILE
Staff satisfaction	.4835**	.5869***
Long-range planning	–.2063	.2423
Uniformity		
Staff evaluation of importance	–.3655*	–.3230
Staff evaluation of quality	–.4249**	–.4329**
Staff vs. top management	–.2792	–.2412
Staff vs. faculty	.0932	.0600
Top management vs. faculty	.4184*	.4688*
Circulation per student	–.0220	–.0210
Circulation per faculty	–.0609	–.0169
Faculty evaluation	.2200	.2915

*Significant at the .10 level
**Significant at the .05 level
***Significant at the .01 level

Apparently the staff's job satisfaction is highly affected by managerial style and the opportunity to participate in the decision-making process. Moreover, the group interaction associated with participative management helps the staff unify its value system regarding both the relative importance of various aspects of the library and the quality of those aspects in a given library.

While top management tends to think of staff involvement basically as a morale booster, in fact such involvement is a distinct asset to management by providng feedback from the faculty through the staff. As a result of staff involvement, the faculty is better satisfied with the library. In the libraries studied this action appears to flow primarily through improved staff satisfaction.

A variety of peripheral findings also came into focus. Two that are appropriate to in-service training involved staff satisfaction and long-range planning. Staff members were queried as to their satisfaction with nine specific factors related to their professional roles and their overall satisfaction. From the analysis of their responses has come an interesting pattern of causal effect. Specific variables included satisfaction with superiors, peers, subordinates, clientele, university administration, opportunity for promotion, professional growth and salary increases, and currently assigned duties. There is a general assumption that satisfied employees are better producers than dissatisfied ones, and my study tended to confirm a positive relationship between staff satisfaction and good library service. Assuming this, classical theory would predict a high correlation between overall satisfaction and such instrumental rewards as opportunity for salary increase and promotion. My study indicates that five of the other eight specific satisfaction measurements had higher correlations than salary increase. This tends to confirm participative management theory, which suggests that a variety of motivational forces affect one's sense of overall satisfaction, including self-actualization, relations with others, ego motives, and economic reward.

By a statistical process, the four specific satisfactions most responsible for overall satisfaction were isolated and a regression equation was developed by which their relative effect could be seen. The satisfactions involved were (1) duties assigned, (2) relations with supervisors, (3) salary increase, and (4) relations with clientele. The equation that was constructed was

$$Y = -3.3519 + .4087 X_1 + .5089 X_2 + .2713 X_3 + .5964 X_4$$

in which Y is overall satisfaction and X_1 through X_4 are the specific satisfactions as listed above. When the relative amount of variance in each was taken into consideration, opportunity for salary increase was slightly more important than any of the other three, but the four factors maintain a fairly balanced effect on overall satisfaction.

Long-range planning had a less than significant relationship with bureaucratic management. It seems that planning might be more readily carried out if top management does not involve the staff. However, it also appears that the extent to which planning occurs under these circumstances has no significant effect on the faculty's satisfaction with the library. In fact, there is some indication that the less planning that occurs, the more in agreement are top management and faculty.

Library long-range planning is less than high quality in any case. It is characterized by informal, unofficial decisions, often known only to top management, and is neither transmitted down nor up, and is not understood or accepted by the staff. Frequently, no costs have been computed for meeting the goals assigned nor are they reevaluated periodically to bring them up to date. There is a nagging suspicion that library administrators do not understand what long-range planning involves and that they spend most of their energies on current operations and resolving the immediate crises as they arise. The planning that does occur appears too often to be the result of pressures of a critical nature. They are carried out to relieve an immediate pressure; and when that pressure subsides, the planning ceases. The most frequent pressure is that which comes with the construction of a new building.

From the data so far, the beginning of an organizational model for university libraries has been constructed and is presented as figure 1. Note that six variables are included and their direction of influence indicated. X_6 is faculty evaluation and within our framework is the end product of service. The primary variables influencing it are staff satisfaction and collection size. Wealth is shown as affecting both of these. X_5 is staff satisfaction and is shaped by the independent variable X_1, managerial style, and the control variables X_2, wealth, and X_3, breadth of education.[10] However, since this is a preliminary model, it is possible and even likely that further study will add other variables. It is worth noting that the variables represent three diverse forces: A staff characteristic (breadth of education), institutional inputs (wealth and collection size), and a library process (managerial style).

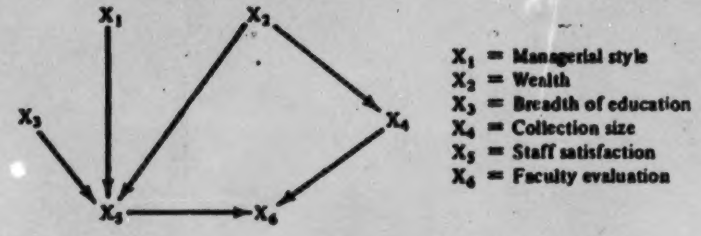

Figure 1 – Preliminary Model of Causality Explaining Faculty Evaluation

Staff Development

Participative management supplements in-service training. Simon has pointed out that a basic feature of organizations is that the division of labor along the spectrum of hierarchy occurs in terms of decision-making.[11] Therefore, preparation for promotion, especially in administration, requires developing the capacity to make good decisions. Since participative management forces decision-making down to lower levels, the experience needed for such growth is provided, and in such a way as to provide an individual with an evaluation of his competence in an unthreatening atmosphere.

Because several people work together, there is room for incompetency and inexperience at the discussion level. The group can filter out poor ideas, and in the process they provide a successful model for the novice to build on. Modeling is the most powerful teaching instrument available for behavioral learning, so the process becomes educational.[12]

Benefits also flow upward. The sterility associated with planning in the autocratic library is stark evidence of the necessity of obtaining wide access to information. Planning based on inaccurate information might be worse than the absence of planning. Therefore, improved communications and the more uniform value system associated with participative management appear to offer substantial opportunity for improving operations as a result of long-range planning. We don't usually think of in-service training for top management, but what I have been describing is tantamount to top management being trained by their staffs. In fact, the modern library director has acquired a staff of experts to complement his own area of expertise and therefore anticipates drawing on their strengths to supplement his own.

Participative management is not primarily an in-service training program and does not obviate the need for one. Training needed to develop the formal skills of librarianship should not be acquired on the job. But participative management does offer the scope for applying with ever-increasing wisdom the learning obtained elsewhere. Its greatest strengths lie in improving a library's service to its environment and in making the library a better place to work.

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9. Rensis Likert, *The Human Organization: Its Management and Value* (New York: McGraw-Hill, 1967) and *New Patterns of Management* (New York: McGraw-Hill, 1961).
10. Breadth of education attempts to measure the contribution of the average librarian to the overall expertise available in the professional staff, including top management. This was done by counting up the number of different disciplines in which a given staff reported having a degree and giving each discipline represented a weighted value depending on the highest level of degrees reported. The index was the number of educational points divided by the number of respondents in a given library.
11. Herbert A. Simon, *Administrative Behavior* (2d ed.; New York: Free Pr., 1965).
12. Roger Brown, *Social Psychology* (New York: Free Pr., 1965), p.394–95, 411–14.

William J. Roche and Neil L. MacKinnon, "Motivating People with Meaningful Work." Reprinted with permission from: *Harvard Business Review*, 48:97-110, May/June 1970. (Copyright © 1970 by the President and Fellows of Harvard College; all rights reserved).

William J. Roche and Neil L. MacKinnon

Motivating people with meaningful work

Giving the worker a voice in managing his job by letting him share the overseer's role pays handsome dividends to him and his company

Foreword

A lot has been written about the benefits that are supposed to follow when a company improves the quality of its employees' working environment: higher productivity, improved morale, and new and better ways of doing things in general. For management, the two big questions about such efforts are these: "Does the approach really bring results, or is it just another fashionable theory?" and "If it *does* work, how do you get an approach like this into action?" This article explains one company's formula, a formula that has proved itself repeatedly in practice. As the authors point out, a successful application has certain prerequisites: the line managers must adopt a new style of managing, one that is quite foreign to the traditional style; the workers must be convinced that management is committed to making the program work; and top management must give the program wholehearted support and encouragement. The purpose of this particular company program is to induce its workers to participate in a continuing cycle of management activity that makes their work increasingly meaningful in their own eyes. Once an employee is into the swing, he is ready to work with his supervisor to set realistic but ambitious production goals. In the authors' experience, these goals have usually been achieved.

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In 1966, after 15 years of practical experience and research work in personnel development and psychology, Mr. Roche joined the staff of Texas Instruments as Manager of personnel development and training at Attleboro. Since 1968, he has been employed by the Vernon Psychological Laboratory in Milwaukee as Consulting Psychologist. Mr. MacKinnon joined TI in 1964, holding successive positions in quality control, inspection management, and personnel training and development. He currently is Quality Assurance Manager for the Motor Controls Department at Attleboro.

The average production worker has long since reached the economic level at which his basic needs for food, shelter, health care, and other externals have been fulfilled. Less easily fulfilled —but equally basic—are his nontangible needs for achievement and general self-satisfaction; and these needs can only be fulfilled through work that is personally significant or meaningful to him. Many employers today are realizing that effort they expend to provide the worker with meaningful work is not mere altruism. Not only does meaningful work improve the worker's morale and serve his human needs, but it increases his productivity and the general effectiveness of the organization.

Just what is "meaningful work"? From the

Authors' note: We should like to acknowledge the help and contributions of the many supervisors and managers at Attleboro who were involved in this program; the guidance received from the training and development section of our corporate offices; and especially the efforts of the team members who actually accomplished what we have only described here.

Readers who find this article stimulating may be interested in these earlier HBR articles, which also deal with employee motivation:

William J. Paul, Jr., Keith B. Robertson, and F[illegible]ick Herzberg, *Job Enrichment Pays Off*, March-April 1969
Frederick Herzberg, *One More Time: How Do You Motivate Employees?* January-February 1968
Earl R. Gomersall and M. Scott Myers, *Breakthrough in On-the-Job Training*, July-August 1966
M. Scott Myers, *Conditions for Manager Motivation*, January-February 1966
Robert R. Blake, Jane S. Mouton, Louis B. Barnes, and Larry E. Greiner, *Breakthrough in Organization Development*, November-December 1964
M. Scott Myers, *Who Are Your Motivated Workers?* January-February 1964
Chris Argyris, *Organizational Effectiveness Under Stress*, May-June 1960

worker's point of view, a job is meaningful for him if it involves him in the identification and solution of the problems that affect *him*. Hence it is *motivating* work, in the sense that the worker is highly motivated to solve the problems that touch him personally.

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The motivated worker characteristically can assume a part in the managerial functions associated with his job; he can share in planning, organizing, and controlling the work he does. His increased understanding and achievement, and especially his increased mental stimulation, combine to boost his morale and his company's profits.

The idea of meaningful work, then, is a key that management can use to make organizational fulfillment go hand in hand with the personal motivation and fulfillment of the employee.

Many studies have been published on worker motivation, manager motivation, on-the-job training, work simplification, and job enrichment, some, in fact, based on projects at Texas Instruments. (See the ruled insert above and the appended bibliography at end of the article.) This article will not break any new theoretical ground. Rather, we want to show how we combined and applied these different concepts in an in-plant program established and carried out in the normal course of production operations.

We introduced this program into two divisions of Texas Instruments located in Attleboro, Massachusetts, where nothing quite like it had been tried before. (See the ruled insert on page 99.) The practical insights we gained from successfully implementing this program will be particularly useful to managers who are aware that they should provide a climate for meaningful work, but are skeptical about the usefulness and the workability of actual programs.

Top management support

The first thing we did was obtain support for this program from the top management of the Attleboro divisions. Without such support, we have found, no program of this kind can ever succeed.

We introduced the program to the senior members through seminars and workshops in which we reviewed its theoretical background and the practical path we wanted to follow.

The real heart of the program, as we explained it, is a continuous cycle of meetings run by a group of workers and their supervisor. In each meeting, the group (a) identifies problems associated with its work, (b) gives the responsibility for solving them to one member of the group (the supervisor or a worker), and (c) hears reports from members on what progress has been made in solving problems identified in earlier meetings.

To get these meetings off the ground and into the air, the supervisor must accept and use a new managerial style, and his workers must accept a considerable amount of responsibility which they probably have never had before. These are hard changes to make, and without active support from the top, we have found, they usually will not be made.

In introducing the meaningful-work program to high-level management at Attleboro, therefore, we were careful to explain its theoretical underpinnings fully. Most of this fundamental material has come from three sources: Mogensen's work simplification (particularly as interpreted by Gomersall and Myers), Herzberg's motivation-maintenance theory, and McGregor's management theory. These are all quite well known to executives, but to review them in brief:

1. *Work simplification* was not new at Attleboro, where this approach had been the primary personnel-development activity for a decade. Gomersall and Myers define work simplification as a process which "equips individuals with knowledge, skills, and attitudes to apply industrial engineering techniques to their own jobs.

Meaningful work: from Dallas to Attleboro

Since the early 1940's, top management at Texas Instruments has believed that the company's goals are best achieved when the employees can reach their own personal goals and develop their full potential. Top management found it difficult to practice what it preached during the 1950's, because the company's dizzying growth made it hard for managers and supervisors to deal with their subordinates on the personal level. It therefore ordered a series of pilot projects designed to find out how best to stimulate individual and corporate growth side by side. The result was a type of team approach to problem solving and work simplification that proved highly successful when it was applied in Dallas. What was learned in using this approach formed the core of expertise we applied in the Attleboro operations.

In 1959, Metals & Controls Inc. of Attleboro, Massachusetts, was merged into Texas Instruments Incorporated. The two organizations had many things in common: similar product lines, absence of unionization, prospects for rapid growth, and a history of work-simplification projects in which employees had been heavily involved as participants and contributors. From 1966 to 1968, we worked with more than 1,500 workers and supervisors at Attleboro to implement a program of "meaningful work" based on this team approach. At that time, total employment at the site was around 4,000; hence this effort involved a significant percentage of the whole work force. In general, results were excellent.

The action program we developed to make work more meaningful has three mainsprings: the participation of the workers in identifying and solving problems that affect them, the cooperation of the supervisors in priming and maintaining the participative attitude of the workers, and the commitment of top management to the value of this participation and cooperation.

Through work simplification, individuals become the willing agents rather than the defensive targets of change." [1]

2. *Motivation-maintenance theory,* first developed by Herzberg, was reinforced by Myers in a six-year study of employee motivation at the Dallas headquarters. This theory says that employees are motivated positively by challenging jobs which provide achievement, growth, advancement, recognition, and enjoyment of work itself. They are affected negatively by such peripheral factors as wages, supervisor relations, working conditions, status symbols, and fringe benefits. A worker tends to ignore such negative factors when he finds his job a motivating one, but he finds them strongly dissatisfying, Myers points out, when his "opportunities for meaningful achievement are eliminated." [2]

Our meaningful-work program was designed to vitalize the factors which motivate the worker positively and quash the factors which demotivate him.

3. *Theory X & Theory Y,* McGregor's popular distinction of two basic management styles, received a lot of emphasis. Theory X represents standard bureaucratic and authoritarian attitudes toward employees, while Theory Y represents a democratic approach that allows the employee scope for creativity and responsibility. The latter, with its stress on satisfying the inner needs of employees, was more compatible with the specific management style that the meaningful work program was designed to develop.[3] ㉓

We convinced the top managers that the specific program that had been worked out in Dallas could work in Attleboro.

Once we had obtained their commitment to the scheme of cyclical meetings and to the changes in supervisory style the program entailed, they agreed to send three key production supervisors to our Dallas headquarters for a week to observe and discuss similar programs in use there. These supervisors attended work-simplification training sessions, observed problem-solving and goal-setting meetings conducted by headquarters supervisors for their own production workers, and discussed successes and failures with supervisors and managers.

They also absorbed the elements of the new supervisory style—the "emerging style," as we call it. The contrast of this style with the traditional supervisory style [4] is spelled out in *Exhibit I.*

When they returned to Attleboro, one of these

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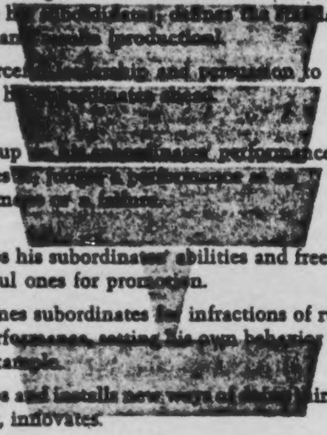
[1] Earl R. Gomersall and M. Scott Myers, "Breakthrough in On-the-Job Training," HBR July-August 1966.

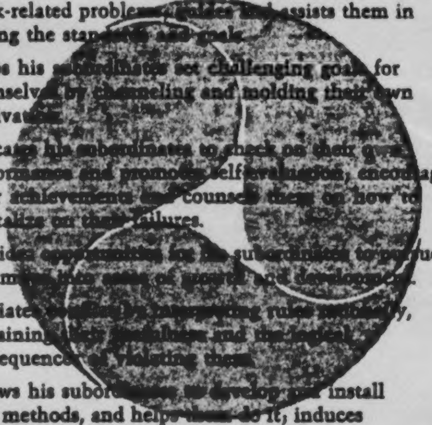
[2] M. Scott Myers, "Who Are Your Motivated Workers?" HBR January-February 1964.

[3] See John J. Morse and Jay W. Lorsch, "Beyond Theory Y," page 61 of this issue.—The Editors

[4] M. Scott Myers, "Every Employee a Manager," *California Management Review*, Spring 1968.

Exhibit I. The traditional and the emerging management styles compared





In the traditional style, the manager:	In the emerging style, the manager:
Dictates the goals and the basic methods for achieving them to his subordinates; defines the standards for quality and [illegible] (production).	Works with his subordinates to identify and resolve work-related problems; guides and assists them in setting the standards and goals.
Uses force, leadership, and persuasion to move or push his subordinates ahead.	Helps his subordinates set challenging goals for themselves by channeling and molding their own motivation.
Checks up on his subordinates' performance and evaluates or judges a performance as an achievement or a failure.	Educates his subordinates to check on their own performance and promotes self-evaluation; encourages their achievements and counsels them on how to capitalize on their failures.
Develops his subordinates' abilities and frees the successful ones for promotion.	Provides opportunities for his subordinates to pursue and m[illegible] of growth and development.
Disciplines subordinates for infractions of rules and poor performance, setting his own behavior before them as an example.	Mediates conflicts by interpreting rules judiciously, explaining their penalties and the logical consequences of violating them.
Develops and installs new ways of doing things; in short, innovates.	Allows his subordinates to develop and install new methods, and helps them do it; induces *their* innovation.

production supervisors and his employees participated in several pilot projects, designed largely by the supervisor himself, in which they identified and solved job-related problems. The supervisor recorded the improvements in the productivity of his group for a four-month period and then reported the figures to the top managers at Attleboro.

The results of this first experiment were good enough to convince the Attleboro management that a broad-scale program was worthwhile. The potential for improving productivity while reducing costs caught the managers' eyes; they also recognized that the process would give perspective to the work-simplification and motivation-training programs already a part of company policy and practice, and to the entire personnel development and training effort.

New supervisory style

The second phase of implementation was to reeducate and retrain supervisors (foremen, general foremen, and superintendents) so each one could hold his own problem-identification and problem-solving meetings with his group of workers.

The orientation program designed for the supervisors required four 2-hour sessions. It contained much of the material already presented to top management. However, since the actual conduct of the projects was to be entrusted to the supervisors, we offered them more mechanical details, such as specific leadership methods that are suitable for use in problem-solving conferences. We also stressed the fact that top management was supporting the program; and, indeed, from the beginning, the job managers and several department managers played active roles in reeducating and retraining men working at the supervisory level.

We spent many hours contrasting the traditional role of the supervisor with the emerging concept of supervision described in *Exhibit I.* In his traditional role, once again, the supervisor sets goals for his subordinates, defines standards and expected results, and checks performance. In his new role, the supervisor participates with people in solving problems and setting goals, and enables subordinates to check their own performance. This is the critical difference between the two styles.

For many tradition-bound supervisors, this new style was hard to accept—it required an about-face on their longstanding attitudes toward their work. Some supervisors rejected the meaningful-work program because it seemed to threaten them personally—which perhaps it did. Those who accepted the general idea of meaningful work but were unable to make the personal transition usually induced failure in the program.

The importance of a positive approach on the part of the supervisor in confronting his people as a group cannot be stressed too often:

▽ One branch manager was so impressed by the program that he immediately started to conduct meetings entirely on his own, to demonstrate his personal commitment. Soon supervisors working in this branch were asking for help in starting their own problem-solving and goal-setting meetings.

△ Much less successful was a foreman who admitted at the outset that he considered the program worthless. The question-and-answer approach he used in his meetings was not suitable for problem identification, and his lack of understanding was obvious in such questions as: "Are there any more gripes?"

Furthermore, he believed that his employees, who were on the incentive system, were only interested in their work "from the time the material gets to them until they finish with it." They would resent any additional work arising out of the meaningful-work program, he explained, adding that they were "like Philadelphia lawyers—always two days ahead of you." Perhaps we, as trainers, had not done our job sufficiently well, and ultimately contributed to his group's failure.

As our initial training conferences drew to a close, some supervisors indicated an interest in the approach and asked for help in getting the program started in their own areas.

Anecdote method

At this point, we began to work with small groups of supervisors, giving them in-depth training in leading problem-solving conferences and alerting them to the pitfalls they would encounter. We wanted them to be prepared for the negativism that inevitably comes from groups who are perplexed, dumbfounded, or even angered by this opportunity to take part in making decisions that affect their work. We made some attempt to formalize new-style leadership training, but we were most successful in working informally with individual supervisors. We found anecdotes particularly helpful. For example:

☐ A supervisor in one of the pilot projects encountered a characteristic problem during his first session with a group of mill operators. He scheduled the meeting to include a half hour of orientation, followed by an hour and a half of problem identification. But, after about two minutes, one man began interrupting loudly and repeatedly, insisting that the whole idea was a complete waste of time, that management was just trying to get more production, and so forth. Before the meeting was over, that same mill operator became one of those who contributed most to the identification and solution of job-related problems.

Reactions such as this are not infrequent, and they probably reflect the supervisory climate in which the operators are working.

☐ A production supervisor reported to his group that it was averaging 70% of the production standard developed by the industrial engineering department for its area. He asked the group members to list problems which might be holding down their productivity. The first problem raised was that wages were too low. Writing the word "pay" on his flip chart, the supervisor said, "I'll save 15 minutes at the end of the meeting to discuss our pay scales. I'll describe the company policy and practice of job evaluation, my opinion of it, and anything else you want to talk about. But, for now, let's get back to our production problems."

At the close of the meeting, the supervisor described the method of job evaluation and the techniques used for comparing pay scales with other companies. He assured his employees they were being paid fairly, explaining that "pay" rates are based on the job, not the *man*.

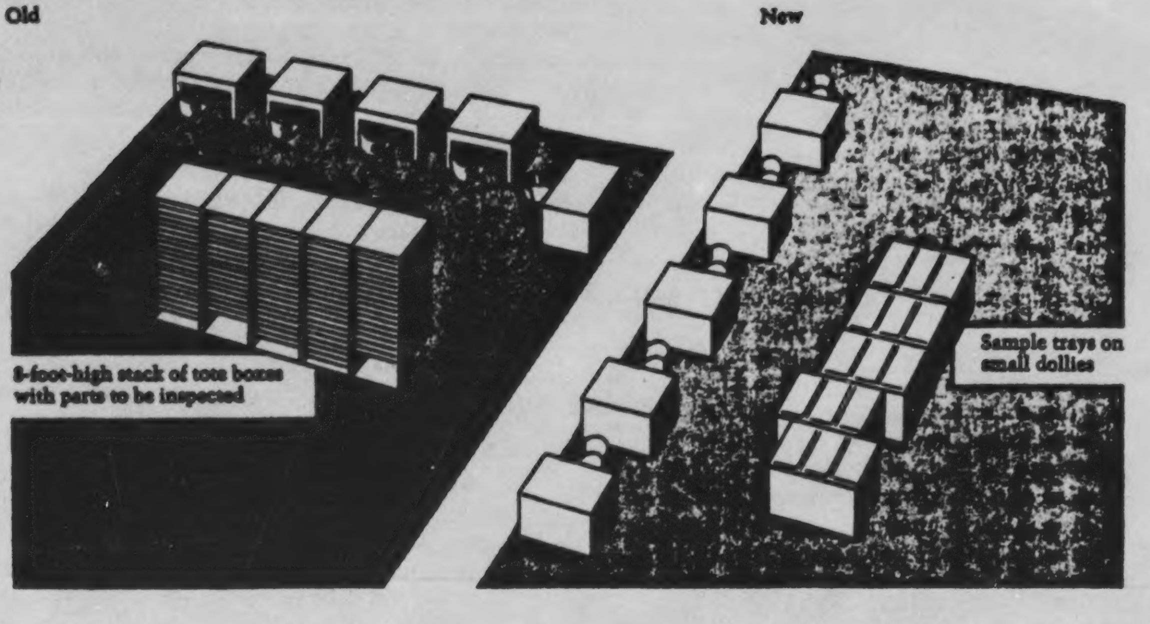
The operator who had raised the question didn't leave the meeting any happier about his pay, but he was satisfied with his supervisor's explanation of the compensation policy.

The group subsequently did very well. It continued to meet every two weeks for three months, and identified and solved many problems. Eventually it achieved a 17% increase in productivity.

The lesson for the supervisor here is that he must focus his group's attention on *the problems its members can help to solve.* It is all too easy to let a conference get sidetracked into unprofitable discussion or derailed into a gripe session.

☐ Some time ago, before the meaningful-work program was initiated, two female inspectors were working on a job that was about to be phased out when they were asked if they would accept a transfer to a similar job in another department. Like their present job, the new one required them to inspect small samples of items produced by the thousands. They answered, "Yes, we'll move, if the area is cleaned up. It's too dirty and messy now for girls to work in."

Exhibit II. The old and new layouts of the inspectors' area


Old
New
8-foot-high stack of tote boxes with parts to be inspected
Sample trays on small dollies

The supervisor agreed and "solved" the problem by having the floors and walls scrubbed and ceiling tile installed.

A year later both girls entered the initial meaningful-work discussion group for their area. The first problem they brought up was that the area was still dirty and messy. Instead of management "solving" the problem this time, the two women plus one male supervisor were asked to make a recommendation. They suggested the following–

○ "Don't bring in thousands of parts in tote boxes. Leave the production lots outside and just bring in samples."

○ "Don't drag them in–bring them in on dollies."

○ "Change our desks around so we can see what's going on."

The recommended changes were made; the new layout for the desks is shown in *Exhibit II.* This new layout actually used 50 square feet less space and proved much more efficient. The girls were pleased that less dust was raised and that they were no longer looking at walls; they felt safer because parts were no longer being dragged past their backs; and they found satisfaction in knowing that they had helped to solve the problem.

Note that their solution was quite different from their supervisor's, and broader in scope. Where he had seen a cleaning problem, they identified a procedural problem and a layout problem as well; better procedure and better housekeeping were *both* necessary to resolve the difficulty. For the supervisor, this anecdote points up the fact that if there is no employee participation, the wrong problem, or only part of the problem, is likely to get solved.

The workers participate

In training the supervisors and preparing them to meet with their workers in real conferences, we "loaded the deck" in favor of the meaningful-work program in two ways.

Usable criteria . . .

We emphasized the fact that a group needs to develop a criterion by which to measure its improvement over time. Identifying such a criterion has proved difficult, and often becomes a matter for the production workers themselves to resolve. In helping his group find its criterion, the supervisor may have to rely primarily on his workers' vision of their jobs, although he can draw on his own experience and, perhaps, the opinions of top management. Some groups have used production output as an improvement measure; others have chosen quality standards (e.g., reduction in scrap); still others have used customer rejections.

. . . & green pastures

Also, each supervisor was advised to look over the functions for which he and his people were responsible and select an area in which the meaningful-work approach stood a good chance of quick success. Later, he could tackle more difficult areas. The maxim that success begets success has been demonstrated many times; and achievement, as a motivator, can be seen more clearly, and be experienced more satisfyingly, in favorable circumstances. Without exception, supervisors were able to pick areas in which improvements could be made quickly.

Addressing Meeting I

Once a supervisor had committed himself to the meaningful-work concept and developed a sense for opportunities and pitfalls, we worked with him in setting up a program, starting with a format for the initial conference.

In no case did we encounter any resistance by department managers to the supervisors' holding these meetings, partly because the program had been approved at the top. Almost without exception, the conferences took place during company time with personnel involved paid straight-time wages. Occasionally, to accommodate various work-shift combinations, it was necessary to pay overtime wages—but, again, department managers voiced no objections.

The first meeting for problem identification is the most critical part of the program—bringing the supervisor face-to-face with his entire work group. For some supervisors this was the first time they had ever confronted the people for whom they were responsible, all at once, in a conference room.

1. Senior management & the training specialist pave the way for the supervisor.

Usually, a senior manager began this meeting by describing the department goals, how the group which was present fit into the big picture, and the need for problem solving at all levels. A training specialist followed with a review of company philosophy and a description of the problem-solving approach to be used. In his discussion, he emphasized the following:

"Our management tries to operate so that you can attain your individual goals while the company reaches its goals.

"A prime company objective is planned, profitable growth, which not only benefits the company but helps everyone within it by providing more jobs and more potential promotions. But we can grow only if we tackle the problems that we have today and set up a mechanism for dealing with the problems that we are going to have tomorrow.

"The real expert at identifying and solving the problems connected with your work is the man who works with them—in spite of them—day in and day out. That man is you—each of you. Many times you've asked, 'Why don't *they* straighten out this mess? Don't *they* realize it's costing the company money?' In fact, you may have called attention to these problems in the past, and nothing was done about them. Bring them up again, and your supervisor will record them, get you involved in solving them, and report back to you on the results.

"Between the time raw material comes into this plant and the time it goes out as a finished product, it goes through as many as 60 operations. As a result, before material reaches you, many problems may well have been created for you in other departments. However, let's not concern ourselves with people in other operations—they will be forming their own problem-solving groups. Instead, let's concentrate on those things we can directly control and change by ourselves right here in our own areas.

"A lot of you, especially the long-term employees, have seen improvement programs come and go over the years. Some of you no doubt are saying to yourselves, 'Here it comes again,' or 'What did he say the improvement program will be called this time?' Well, this time we're really serious about a new approach, and we want to see it work. But you people have got to help.

"Your supervisor will act as your leader during these conferences. He cannot guarantee that all your problems are going to be solved. He knows that he himself may have been the biggest roadblock in the past, when he dead-ended your suggestions by promising to 'look into that.' This time he does guarantee a definite answer to all problems—even when the answer is, 'We're not going to do anything about that right now because. . . .' "

2. The supervisor helps the group identify problems & assign responsibility for solving them.

The meeting was then turned over to the supervisor, who asked, simply, "What problems do you have in getting your job done?" At this point, there was usually a silence, sometimes lasting for several minutes. We had advised the supervisor not to break this silence, even though he felt quite tense in the role of leader. Eventually someone would speak up and state what he felt was his big problem; and others followed. The supervisor listed them on a flip chart or blackboard, avoiding discussion at this juncture except for purposes of clarification.

The first problems identified usually dealt with heat, light, ventilation, maintenance of equipment, cleanliness, and so on—"hygiene," as Herzberg calls it. In general, groups with low morale (indicated by attitude surveys) spent more time on these items than groups with high morale. Before the first half hour was over, most groups had moved off these items and on to issues more directly related to work, such as causes of rejects, work flow, and layout. Some supervisors started their groups on work-related items immediately by specifying problem areas for group concentration.

Shortly before the meeting was scheduled to end, or when the group felt it had pinpointed all the key problems (which seldom happened), the supervisor asked for volunteers to work out solutions. In an initial meeting, we found, it is often difficult to get volunteers, so assignments must be made by the supervisor. On certain kinds of problems—for example, where heavy-equipment purchases or priority-setting are involved—the supervisor should take the responsibility for solving them himself. On other types of problems, groups often received assistance from engineering, quality control, or production control, with the understanding that these people were acting as resources to the group rather than as management supervisors. For example:

One production group felt that a new work-routing card was needed for its area. Quality and quantity seemed to be slipping in production runs, and the group felt that one major reason for this was the very limited information that the operators could record on the existing card. Parts that eventually would prove defective were not being weeded out early enough, and so on.

One of the girls in the group, Lucille D., volunteered to make up a new card format. The group felt she was well qualified for the task because, as the worker who established the tooling and machine settings for each run, she had become familiar with just about every manufacturing problem that could occur.

Lucille made some notes for the new card format and then checked what she had done with an engineer, Jack R., and a manufacturing manager, Mr. Ball...

Lucille: We still want a place for the operator's name, don't we?

Jack: Yes.

Lucille: Items 1, 2, 3, and 4 are the same for most lots. Can I change the form around so we don't have to fill that out for every lot?

Jack: Yes, we can block out major areas and preprint the forms.

Lucille: What should we do about color? It's important, but there wasn't any place to record it.

Jack: Color of what?

Lucille: The color of the metal when it's hot.

Mr. Ball: The color of the metal will change, of course, as you change the heat-treatment temperature. Its hardness will change, too. Yes, we ought to make a place to record color. That may be important.

Lucille: Should I have space to record a damaged punch?

Jack: You would have to change punches, and then you would have a new setup and should start a new route card. So you don't need that.

Lucille: Okay. I want to leave space for comments after each operation.

Mr. Ball: Fine. But let's try the form for two weeks and see how much room you need for comments, and where.

Lucille: On split lots, will we have to copy all the previous steps on the new sheet?

Mr. Ball: Negative. Jack, why don't you figure out a numbering system for the forms that'll take care of that? If you can't, we'll duplicate sheets on a copying machine.

And so on. Lucille contributed a lot to this discussion, obviously, by raising some of the "right" questions that might never have been asked had the supervisor undertaken the revision himself. The company developed a truly useful form. Trivial? Not to manufacturing control—and certainly not to Lucille.

The first meeting usually ends with picking the date for the second meeting, for feedback and follow-up. Usually, groups want from one to three weeks to work on their problem-solving assignments.

3. *Between meetings, those responsible for solving the problem work on its solution.*

Sometimes problems can be solved at the same meeting at which they are raised. This is generally not the case for operating personnel, because they have seldom had free access to the facts that would influence their decisions. Group members usually must meet with:

○ Other group members, to get additional information on layout, flow of material, equipment allocation, work assignments, and so forth.

○ Process engineers, quality control engineers, or production control personnel, to get additional technical information or advice.

○ Personnel from other cost centers or departments, when problems overlap into their areas.

○ Staff personnel, if the problem centers on clarification of existing policies or procedures.

Exhibit III shows a sample of problems identified by two groups, inspectors and assembly workers, together with the kind of personnel to whom the problems were assigned and the reports these personnel finally made back to their groups in a later meeting.

Since many factory workers are traditionally accustomed to a more restrictive environment than this kind of activity represents, they seldom go forward under their own initiative. A supervisor, therefore, must understand how to follow up assignments between meetings, especially at the outset of the program. Without his assistance in fact-finding and the like, we found,

Exhibit III. A sample of identified problems, assignments, and reports

Group	Problems identified in Meeting I	Assignment	Report returned to the group in Meeting II
Inspection group	Better protective equipment is needed in our area. Also, factory workers should sit with the safety committe[illegible]	Inspector	A separate area has been created for parts coming into the inspection area. This area has been cleared, and [illegible] for holding material are stored neatly, [illegible] hazards and the accumulation of parts. [illegible] that factory employees outnumber [illegible] safety committee two to one.
	We need one [illegible] by productio[illegible] schedule in[illegible] than the f[illegible] handling[illegible]	[illegible]	[illegible]on control has this task, and [illegible] by various people now [illegible]spection group. This system [illegible] weeks prior to this [illegible]uite well.
	The sam[illegible] on man[illegible] small, [illegible] own ac[illegible] larger [illegible] the spe[illegible] change[illegible]	[illegible]	[illegible]trained in sample theory [illegible]ndards like MIL-STD [illegible]ple size required to [illegible]. Previous lack of [illegible]nspection and excessive [illegible]
Assembly group	Shortage [illegible]	[illegible]	[illegible] and number of trays we [illegible] and should be delivered [illegible]
	Require coin [illegible] welding and as[illegible] operations.	[illegible]	[illegible]
	Stranded wire is work[illegible] out of crimp joint on Item 147a.	[illegible]	[illegible] the Engineering Department of this [illegible] they have assigned one man to it. I shall [illegible] back in more detail at the next meeting.
	Wire lead section should be moved out of the section of the plant where it is now located.	Supervisor	Because of budget restrictions, we do not plan to move this section.

some groups come to the second meeting ready to raise additional problems but not prepared to clarify those identified during the first.

Also, it is important that the supervisor really work out the problems he has agreed to handle. By doing so right from the beginning, he shows that he is serious about his cooperation with the group. When confronted with evidence of their procrastination, for example, members of one group readily admitted they had dragged their heels because they didn't believe their foreman would follow through on his own assignments.

Another pitfall is the workers' deference and uncertainty about others' authority and responsibility. When digging into a problem, they are often afraid of stepping on the toes of the people who have traditionally handled it—engineering, quality control, and so on. Some groups overcome this hurdle, simultaneously strengthening themselves, by integrating representatives of engineering and quality control into their problem-solving team or group.

Following up in Meeting II

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In the Attleboro program, the supervisor usually opened the second meeting by running down the list of problems the group identified in its first meeting. He candidly reported on the status of the problems assigned to him, emphasizing action he took and the results of that action. In his report, he used criteria that the group understood (for example, effects on work flow rather than effects on profit before taxes) and that were also consistent with the criterion which the group was developing for self-evaluation. If he had taken no action on an item, he admitted it.

Next, he asked for progress reports from the group, like the examples shown in *Exhibit III*. Without such reports, naturally, the members of a group will feel that they are accomplishing nothing or that their accomplishments are not being recognized. Hence this kind of report should be faithfully made, even where the information it contains is somewhat complicated. If the report includes topics like volume shipped and percent of product rejected, the supervisor should see that the data are plotted against the group's goals in such a way that they can be clearly understood. He should also see to it that such data are updated on a daily or weekly basis.

Inasmuch as self-correction on the part of operators depends on accurate and rapid feedback, the shorter the gap between action and report, the higher the probability that the group will achieve improvement.

One group at Attleboro used as its criterion the weight of material shipped per day plotted against the straight-line curve that represented 5,000,000 pounds shipped per month, which was the production goal. Within three months this group reached its goal for the first time in the ten-month history of the contract. Every month, the work group would be below the "goal" curve until the last few days of the month, then it would surge ahead to meet the 5,000,000-pound goal. But it is interesting to note that while this goal was reached for nine consecutive months, it never was substantially exceeded.

Goal setting

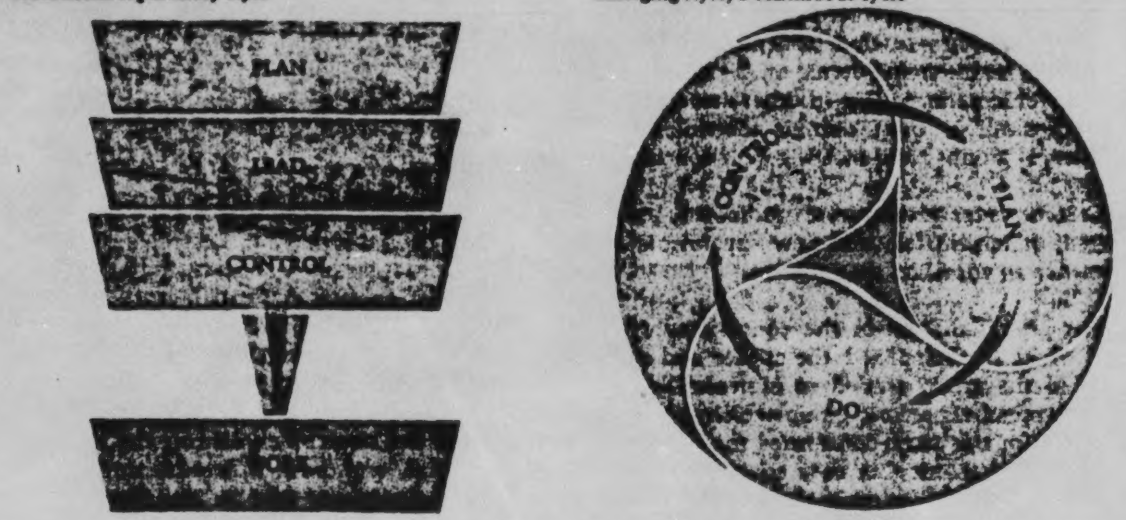
When a group has reached the point at which it can assess the impact of its actions, it is ready to set its own goals. Some of our groups were already at this level in the first meeting because of their understanding of standard performance measures. It took other groups three to six months to arrive at this level. For example:

☐ One group of finish-roll mill operators (they rolled clad metal to specified dimensions) set a goal of reducing department scrap by 10%. When six months had passed and the figures on department scrap had not changed appreciably, they got discouraged; they felt they had improved performance by their actions, but this improvement was not showing up in the numbers. We analyzed the situation, and we learned that the main causes of rejecting items into scrap stemmed from other operations. Therefore, their efforts had not visibly affected the total scrap accumulated within their department.

However, the group had unknowingly made an impact on two other variables, gauge and surface finish. There was a decrease in rejections for these two characteristics from 3.5% to 0.5%. By initially selecting a measure over which they had little control, the group members had become frustrated and were on the verge of disbanding, even though their efforts had resulted in a substantial improvement in another area. As it was, the group moved ahead to successful goal setting.

In some instances, especially in the early program stages, the supervisor chose the criteria and set the goals as well as selected the general problem area. It then took the group some time to

Exhibit IV. The dynamic contrast between the traditional and the emerging supervisory styles



Traditional supervisory style

Emerging style; a continuous cycle

acknowledge that the goal was realistic and attainable, challenging and measurable. When members of the group had observed definite gains and were ready to establish their own criterion and goals, they often exceeded the goals the supervisor had selected. Foulkes gives a dramatic example of this phenomenon:

☐ In one of the divisions, a group of women assembled a very complex electronic instrument. Their assembly time for a single unit was 138 hours, and the company was losing money at this rate. The supervisor called a meeting and asked the women's advice on ways to improve the assembly procedures: "What are the problems? How can they be solved?" He asked them to assume that most of the problems *could* be solved; then he asked them to set a time goal for the assembly of each unit. They set a goal of 86 hours, although the industrial engineering standard for the job was 100 hours.

To help them reach this goal, the supervisor arranged for them to have information not previously available to them, as well as free access to the industrial and manufacturing engineering staffs. Not only did they top their goal by quickly reducing the time to 75 hours; they eventually achieved an assembly time of 36 hours.[5]

Continuing the cycle

In Meeting II and every meeting thereafter, the work group both identifies new problems and checks up on how well its solutions are working.

This sets up a continuous cycle of activity that incorporates some of the managerial work of the traditional supervisor in the emerging style of cooperative and complementary management, on the part of the supervisor on the one hand and his work group on the other.

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Exhibit IV contrasts these two styles graphically. Note that the traditional style explicitly shows leadership as a separate entity. In the emerging style, leadership has been absorbed into the energetic pattern of the work cycle itself. Thus, unlike the traditional, straight-line approach, the continuous cycle concept is not mechanistic or formalistic; rather, it is a fluid and dynamic approach that each team can mold and adapt to suit its needs.

Some groups schedule meetings only when they feel that enough problems have arisen to warrant it, and others schedule meetings at regular intervals. In either case, the meetings tend to occur less frequently as time goes by. The reason, simply enough, is that the team has developed enough candor and canniness to home in on its "real" problems and establish meaningful criteria and goals quickly.

Some groups at Attleboro never attained this continuous cycle and disbanded, for a variety of reasons:

○ One group attained its initial goal after just a few meetings, and the supervisor saw no need for continuing.

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[5] Fred K. Foulkes, *Creating More Meaningful Work* (New York, American Management Association, Inc., 1969).

○ A few supervisors became disillusioned in their first meetings when the groups concentrated on maintenance items or discussed only those problems that arose in other areas.

○ Pressures to meet current schedules kept successful groups from meeting on a continuing basis.

○ Some supervisors were promoted, transferred, or terminated, and new supervisors did not wish to continue the program.

Other groups did attain the continuous cycle, and where this happened, the candor and openness of the group tended to increase. For example, members of one group which had been meeting for two years confronted the supervisor with the statement that they could do a better job of scheduling overtime than he, since they could pool information and knew which operators wanted the extra money.

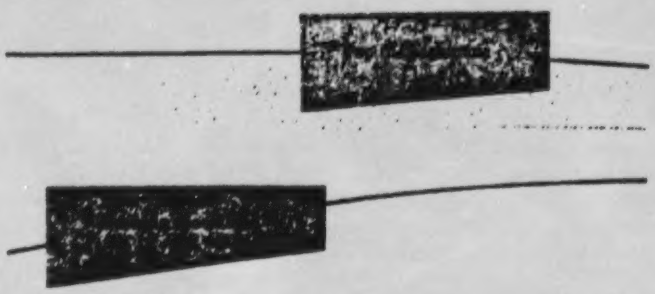
Conclusion

Two years' work with our 1,500 operators at Attleboro proved the general soundness of this approach to the meaningful-work concept. The program was not an all-out success, but seemed to follow an all-or-none pattern for each group. Groups which made gains often did so in spectacular fashion; those that failed usually did so in less than three months.

First, we worked with top managers to help them fully understand meaningful-work concepts and techniques. This proved vital, not only in helping their understanding of the concepts, but also in earning their commitment to the program. Once our managers realized that this type of job enrichment results not only in increased job satisfaction for those involved but in improved productivity as well, they generally endorsed the program.

Second, we worked individually and in groups with the supervisors who would conduct the problem-identification and problem-solving sessions. Their attitudes and behavior were most important. Some who had the more traditional outlook on the role of supervision found it difficult (or impossible) to adapt to the contemporary style of managing. Many were willing to experiment with the process, and some even found the new experience personally rewarding. From the vantage point of development and training of specialists, we often described the entire process as "management development in its most basic and meaningful form."

Exhibit V. Diagram of the process



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When they met with workers, the supervisors in turn set the stage by explaining the program, its potential, and how it would work. They stressed the workers' role in identifying problems by telling them, "Remember that you know the problems associated with your work better than anyone in management because you are closer to those problems. *You* identify them." They also insisted that management was serious about the meaningful-work program.

As the groups became adept at problem solving, they identified additional work-related problems, probed for solutions, and set and met their own goals. Morale went up, as did production. The effective groups became self-motivating, taking on more and more managerial functions as they evolved a continuous cycle of activity. *Exhibit V* diagrams the whole process.

Naturally, there are some difficulties inherent in this approach to work management, chief among which is occasional resistance by a supervisor. Also, some jobs are not amenable to this type of enrichment, where the operating personnel feel that they are unable to contribute, or refuse to do so. But, in Attleboro, at least, the net gain in terms of individual and organizational improvement was great enough for the program to be continued.

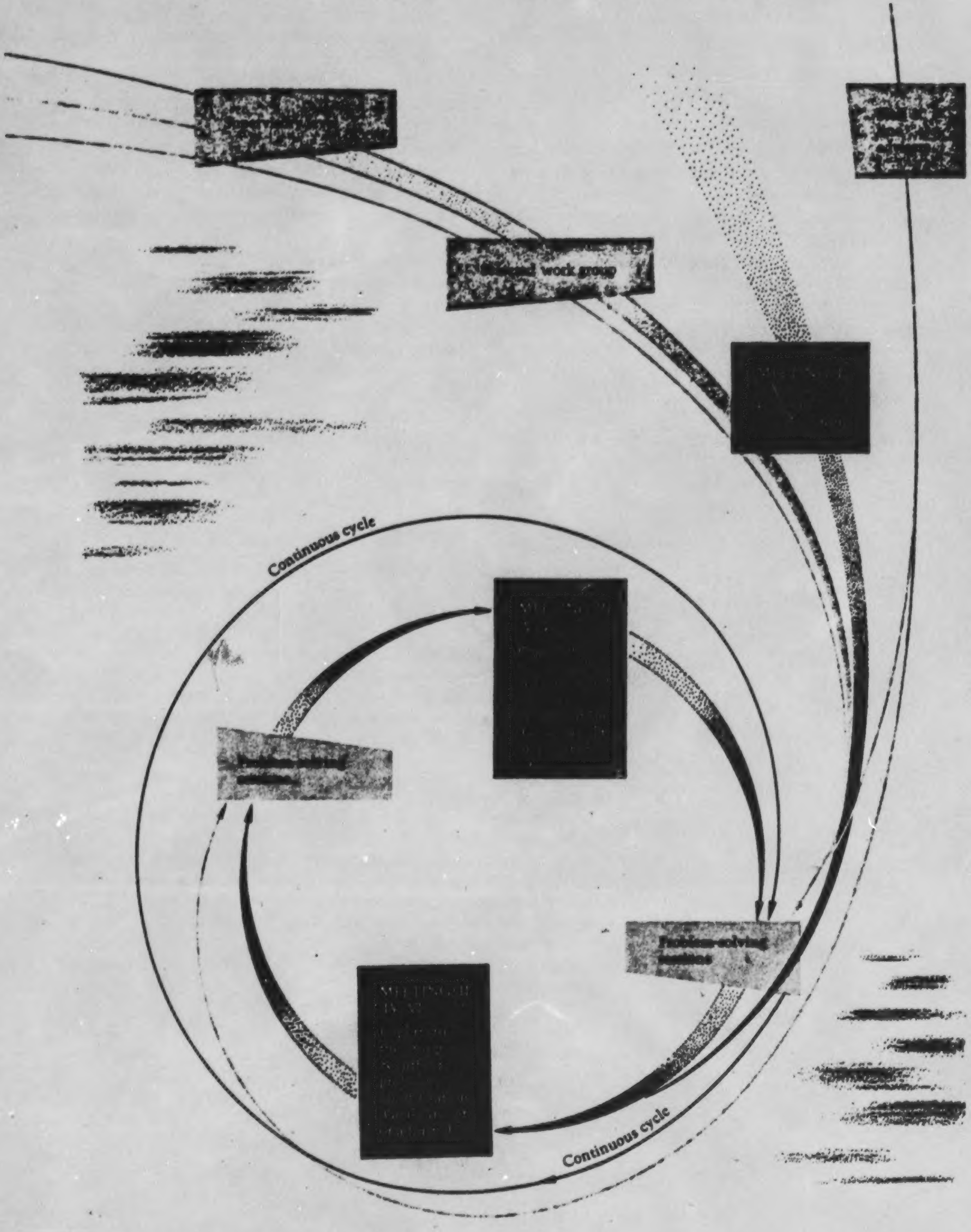
It is easy to list the ingredients for success. The program-training personnel improve the chances for success if they . . .

—obtain the commitment of top-level management, especially to the new, emerging supervisory style.

The program trainers and top management must cooperate to . . .

—obtain the commitment of the supervisory level;

by which management generates the continuous cycle in a selected work group



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–educate supervisors in what we have called the emerging style of management;
–help supervisors figure out the ways and means of getting started with a continuing cycle of meetings.

The supervisor must . . .
–induce his work group to participate in identifying and solving problems, recording successes and improvements, and setting goals;
–make sure that the whole problem is solved in each case;
–make sure that the goals set are both attainable and challenging;
–work with the group to develop meaningful criteria for measuring its impact;
–report conscientiously on his own projects, and make sure that his workers report on theirs, punctually.

Some ingredients for failure are also easy to list. They are:

○ Using short-term factors to measure management effectiveness. (This leads to concentration on short-term goals.)

○ Encountering supervisors' resistance to the change of management style.

○ Letting the meaningful-work approach be viewed as "just another program."

○ Training the supervisor inadequately.

○ Concentrating on problems in areas over which the team has no control.

○ Setting unattainable goals.

○ Allowing early disappointments to discourage teams.

○ Allowing the supervisor to fail to follow through after problems have been identified.

The real effect of our approach can best be understood by this incident: A production operator in a successful team was hot under the collar because he had not received a merit raise while others in the group had, and he expressed his dissatisfaction to his supervisor. But he ended up with the comment, "Well, at least we are being treated like humans now."

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The meaningful-work approach rests on a broad foundation of motivational theory and research by such men as Maslow, Herzberg, and Myers. The following is a brief list of sources:

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Dale D. McConkey, "MBO—Twenty Years Later, Where Do We Stand?" *Business Horizons*, 16:25-36, August 1973. Copyright © 1973 by the Foundation for the School of Business at Indiana University. Reprinted by permission.

BUSINESS
HORIZONS

DALE D. McCONKEY

MBO—TWENTY YEARS LATER, WHERE DO WE STAND?

A preliminary evaluation

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Although the management system known as management by objectives, or MBO, has existed for only twenty years, any significant validation of its effectiveness has yet to be done. Serving as a preliminary evaluation for MBO, this article traces the important steps in the development of the system and makes some general appraisals on the extent to which it has been adopted. Some of the primary changes which MBO created in the management process are discussed, as well as some of the reasons why MBO has failed in certain situations. Finally, the author considers the future of MBO—what its past and present indicate its place in management systems will be.

Management by objectives—or any management approach which has existed for a number of years and has received widespread acclaim—should be subject to review and evaluation. The review should address itself to providing answers to the following major questions:

What have been the most significant milestones in the development and application of the approach?

To what extent has MBO been adopted?

What has been its major impact on the management process and the manager's job?

Is it a viable approach for continuing development and application?

MILESTONES IN MBO

Although it is difficult to apply the description "milestone" to only some elements in a series of events, certain events can be singled out as the most significant in the evolution of MBO. The *first* concerns the translation of the MBO concept into reality. "Objectives" of one variety or another have been known and used by managers since Biblical times. It remained for Peter Drucker, writing in 1954, to utilize them as the basis for a management system.[1] Drucker, always the able catalyst to management thinking, set the stage by proposing that objectives would serve as the vehicle for administering and directing a systems approach to managing an organization. Others would develop the system and render it operative. Approximately fifteen years after Drucker's lucid pronouncement, MBO has become a practical reality embodied, successfully and unsuccessfully, in thousands of various and diverse organizations throughout the world. Concept has been translated into practice.

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[1] Peter F. Drucker, *The Practice of Management* (New York: Harper & Row, 1954).

The *second* milestone concerns the three-stage evolution of MBO from its fledgling stage to the present. Initially, almost complete emphasis was devoted to improving the performance of the individual manager—by providing him with goals toward which to strive and by according him recognition for his achievements.

Next, emphasis switched to the organization as a total entity, and the goal was overall organizational effectiveness on a short-range basis. Finally, the long-run future of the organization was emphasized by balancing and directing the results of individual managers to achieve organizational priorities.[2]

The *third* milestone was realized when MBO advanced from a special-purpose management tool or technique into a full-fledged management system.

The early efforts of the pioneers in MBO arose primarily from a complete disenchantment with the techniques then popular for evaluating or appraising managerial performance. The evaluation techniques of the late 1950s measured the degree to which managers were thought to possess, or to fail to possess, highly subjective traits or factors. Factors commonly evaluated were cost awareness, grasp of function, initiative, innovation, punctuality, loyalty, cooperation, potential for advancement, and other qualities. The traits were not keyed to actual results achieved, and two evaluations of the same manager could differ by 180 degrees because of the orientation and prejudices of the examiners.

Gradually, measurable objectives and results replaced evaluations of traits. This required the development of effective objectives for managers and here we see the beginnings of the new system. The development of objectives appropriate for use in evaluating performance paved the way for allowing objectives to serve as the focal point for all other major parts of the management process.

EXTENT OF ADOPTION

The precise extent to which MBO has been adopted is impossible to gauge. To date there are no valid findings or data on the number of organizations which have adopted MBO. Any attempt to arrive at the number is complicated by the need for a definition of the degree of MBO which an organization must practice to be included in the data. Moreover, the collection of data would be further confused because of the uncertainty concerning what MBO is.

Some managers classify themselves as MBO practitioners simply because they operate with budgets. Others do so because they work with general goals and objectives, and others because they believe they are following a few MBO principles—as they understand them. And still others profess to be full-fledged MBO managers because they give their subordinates some voice in decision making.

The above variations notwithstanding, there is no question that MBO has been adopted extensively. Applications are found in abundance in large and small companies and in all areas of the business sector—in both capital goods and consumer goods companies and in companies with product lines as divergent as turbines and facial tissues and with goals as different as producing a product and providing a service.

The nonprofit sector, having witnessed the attention devoted to MBO in the private sector, has begun to adopt MBO at a rather startling pace. This trend is discernible among government units, in hospitals and the health-care field, among religious organizations, and in educational systems.

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[2] See Robert A. Howell, "Managing by Objectives—A Three-Stage System," *Business Horizons,* Vol. XIII (February 1970), pp. 41-5.

Service organizations—whose growth is outpacing manufacturing entities—constitute another vital area of growth. Many insurance companies, banks, and retail establishments are presently exploring and adopting the MBO system.

A pattern of adoption within geographical locations is also evident. From the United States, MBO has spread to England, Europe, Japan, Canada, and other parts of the globe.

Thus, MBO has been widely adopted and is being extensively practiced. This adoption is not based upon its proven value, but upon its logical appeal. To date, there has been no validation through a representative sample of the degree to which MBO increases organizational or managerial effectiveness. The author, however, is presently engaged in such a study and hopes to publish the results during 1974. No correlation has been established between MBO and the specific profitability levels of a company or between MBO and the definite levels of effectiveness of managers. To ask whether such correlations can ever be established—in light of the numerous known variables—is to pose an extremely difficult question.

However, it can be demonstrated, without attempting to quantify the results, that practicing MBO in depth does result in improved communication, coordination, control, and motivation of managers. These desirable ends are considered the minimum an organization should expect from its MBO efforts, and there is little, if any, disagreement that these benefits do accrue when MBO is employed for at least two to three years.

Before proceeding to a discussion of the specific changes which MBO has helped bring about, the absence of "pure" MBO systems must be indicated. If pure MBO is defined as a system in which all of the commonly accepted principles of MBO are practiced in A to Z fashion, few, if any, organizations actually practice MBO.

Major differences exist in the applications of MBO, in the procedures for accomplishing the applications, and in the degree of conviction with which MBO is pursued. For example, some organizations embrace the method primarily as a means of evaluating their managers, while others use it primarily for planning. Still others employ MBO as the overall management system. Even within different divisions of the same company, there are considerable differences in the approach and applications. For example, in one multibillion dollar, multidivision company, some divisions are practicing MBO as a way of life while other divisions have barely heard of it.

IMPACT ON MANAGING

The impact of MBO on the management process and on the manager has been profound and dramatic. Nowhere is this impact more demonstrable than in the change in the very definition of "management."

Formerly, if a person were asked to define management, he might reply, "It's getting things done through people." If pressed to amplify his definition, he might add "by planning, organizing, directing, and controlling." This rather common and traditional definition of management was rendered obsolete by a recent study completed by a committee of the Association of Consulting Management Engineers and reported by the Business Management Council.[3] This study concluded that management is comprised of three steps: establishing objectives, directing the attainment of objectives, and measuring results.

The accompanying figure portrays the "management wheel" which resulted from the

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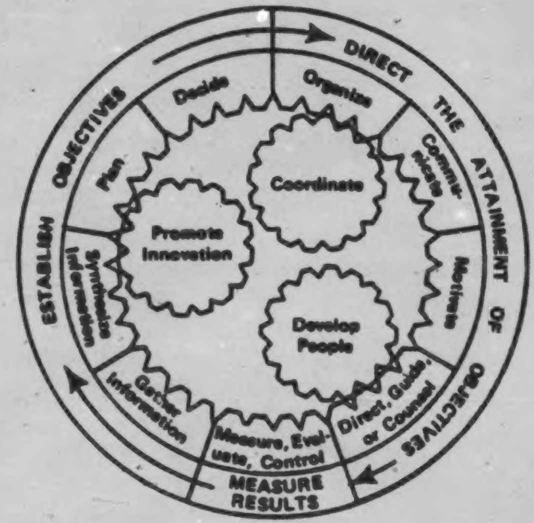
[3] *BMC Report Number 1* (New York: Business Management Council, 1968).

Elements of Managing



study. The three major steps in managing are divided into their eleven elements. Thus, in lieu of defining management by general terms or by citing a list of functions which the manager carrys out, management now is defined as comprising three major steps—all highly oriented toward objectives. Now the former main functions are subfunctions of the three larger steps. This change in emphasis and the rationale leading to the change have brought about far-reaching changes in many of the traditional approaches to the manager's job. Several of these key changes are described in subsequent sections of this article.

Not the least of these changes has been the major distinction established between "running" a business and "managing" a business. Those who run a business are usually frantically busy doing many different things—often working excessively long hours—and hoping that something will happen. Those who manage a business make things happen by deciding what they should be doing and then lining up all of their resources and actions to make it happen. The latter are usually in control of their operations while the former frequently have operations which are out of control.

Management Styles

Twenty years of MBO experience have demonstrated that MBO enjoys a better chance for success if its practitioners follow a particular management style. The more successful companies have been those whose management can be characterized by a balanced, participative style, one which encourages maximum participation while discouraging permissiveness. For obvious reasons, MBO will be least successful with an autocratic management. While MBO can achieve some measure of success in a bureaucratic atmosphere, its effectiveness will be greatly decreased by the excess of red tape, controls, and procedures.

The balanced, participative style is usually defined as one in which the maximum number of the following attributes is actually practiced in a maximum degree:

In-depth delegation

Maximum participation in the objective setting and planning processes

Managers permitted to make some mistakes

Change encouraged and planned for

Policies and procedures minimal and subject to change when necessary

Controls tight but only the minimum imposed to keep the unit in control

A meaningful reward system

A high degree of self-management, self-discipline, and self-control on the part of managers.

Experience has proven that MBO cannot be successfully foisted on the wrong management style. The entire management style and approach must be supportive of MBO or it will not reach its success potential.

Increased Use of Behavioral Sciences

More and more, MBO is raising the status of behavioral scientists from mere voices crying in the wilderness to valuable and recognized members of the management process. According to the author's concept, management thinking passed through three stages of development on its way to the fourth stage, the MBO system.

TABLE 1

History of Approaches to Managerial Appraisal

STAGE 1 ***Measuring by Traits***	***STAGE 2*** ***Measuring by Objectives***	***STAGE 3*** ***Measuring by Objectives and Efficiency***
Pre-MBO	***1955-72***	***1972-***
Emphasis was on measuring managers based on trait factors, such as health, initiative, loyalty, punctuality, and grasp of function.	**Emphasis was on measuring managers based on degree to which they achieved, or failed to achieve, their objectives.**	**Emphasis was on objectives and how efficiently managers achieved their objectives.**
This was an extremely weak approach because it was not related to results which the manager achieved.	**This was a much better approach as it was results-oriented. However, it emphasized effectiveness: were the objectives achieved or not? It failed to consider efficiency: was the achievement based on good management practices?**	**This has the added advantage of coupling effectiveness (were the objectives achieved?) with efficiency: did the manager accomplish the results by luck or by sound management?**

Stage 1—Stage 1 was exemplified by the birth and adoption of the so-called "scientific management" approach. This stage relied heavily on a more impersonal approach to managing people, and was characterized by emphasis on standards, work measurement, and methods improvement. Its leading advocates were Taylor and the Gilbreths.

Stage 2—This stage, a swing to paying more attention to the human or personal factor in managing people, was a natural outgrowth of the emphasis on the impersonal approach of Stage 1. Much of the thinking of Stage 2 can be attributed to Elton Mayo and those who follow his work.

Stage 3—Stage 3 can be described as an era of discontinuity—an era in which a sizable chasm developed between the purists, who advocated the scientific management approach (frequently the hard-nosed production managers who looked down their noses at behavioral scientists whom they frequently regarded as socialist theorizers), and the behavioral scientists, who often regarded scientific managers as hard-nosed profit-seekers with inadequate regard for the human factor and with little appreciation of the how and why of motivating people.

Stage 4—The end of Stage 3 came in the late 1950s. The move to participative management within the MBO system started a narrowing of the gap between impersonal and personal management approaches. MBO, while continuing to emphasize the importance of achieving the necessary objectives of the organization, also placed a premium on marshalling and directing all of the human assets toward those objectives. Applications of the behavioral sciences were evident. This trend continues to grow as MBO serves increasingly as a marrying agent.

Increasing Use of Staff Managers

Prior to MBO, the staff manager was frequently regarded as a necessary evil, as one who dealt with intangibles which could not be measured. Often he received neither the opportunity to make a profit-oriented contribution nor acceptance and recognition for his accomplishments when they were achieved.

The advanced applications of MBO now permit staff managers to write measurable objectives, to measure rather finitely their contributions against their objectives, to receive deserved recognition in the process, and to take their proper place as members of the profit-making team. With staff managers currently averaging 20 to 40 percent of an organization's total manpower budget, their increased utilization must be credited as being one of MBO's greater contributions. While some organizations have been slow to bring staff managers into the MBO system, the number which now consider staff managers as an integral part of MBO is steadily increasing.[4]

Appraising Managers

One of the most dramatic changes brought about by MBO has been its impact on measuring managerial performance. MBO has been instrumental in a three-stage progression concerning managerial appraisals.

Stage 1 (pre-MBO) was a period in which the emphasis was on measuring performance by rating traits; Stage 2 switched the emphasis to measurement based primarily on achievement of preset objectives; and Stage 3 concentrates on measures designed to evaluate managers both on the degree to which objectives were achieved and on how efficiently the objectives were achieved. Table 1 highlights the major characteristics of each of these stages.[5]

Job Description

MBO has all but eliminated the traditional job description which catalogued what the company required of the job—not of the manager in the job. The emphasis in MBO descriptions is on the manager because the system recognizes that it is the man who makes the job in the managerial ranks (see Table 2 for a comparison of the differences between the traditional and the MBO job description and Table 3 for an illustration of what an MBO job description should be).

It is not possible to overemphasize the importance of the document which describes the manager's accountability. This document serves as the basis for evaluating the manager's performance, for rewarding him, and for gauging the countless other actions relating to individual performance. The total of all these activities determines the future of the total entity.

Compensation Practices

MBO has had a pronounced impact on compensation practices, both in the basis on which payments are made and in the form the payments take.

Basis for Compensating—Prior to the widespread adoption of MBO, it was quite common for compensation to be based on so-called "merit" principles. However, merit was a highly elusive term, and few organizations succeeded in realizing it in actual practice. Too often, for example, merit became synonomous with longevity. Invariably, there was a tenuous connection between a manager's compensation and the results he achieved or the contribution he made.

As often as not, compensation plans did everything possible to destroy the prime objectives of compensation: promoting equity and motivation. Rewards which were not tied to specific results—and were not given to the manager in proportion to the results he achieved—could hardly be considered equitable or a motivating force to encourage better performance. MBO has precipitated fundamental changes by insisting that compensation be tied closely to achievement of objectives and paid in proportion to the degree to which the objectives are achieved or exceeded.

Form of Payments—Incentive compensation, in one form or another, has been around for many years, but it remained for MBO to give real meaning and purpose to its use. Formerly, incentive payments were often

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[4] See Dale D. McConkey, *Management by Objectives for Staff Managers* (New York: Vantage Press, 1972).

[5] For an in-depth discussion of the third stage, see Harold Koontz, *Appraising Managers as Managers* (New York: American Management Association, 1972).

TABLE 2

Comparison of Traditional and MBO Job Descriptions

	Traditional	*MBO*
Major thrust	Heavily oriented to long statements of activities	Oriented to objectives
Change factor	Seldom changes unless major function is added or subtracted from the job	Objectives portion changes at least once each year
Priorities	Lack of change precludes recognizing changing priorities	Changing priorities are recognized through changing objectives
Improvement	Lack of recognition of change precludes inclusion of improvement as a factor	Continual improvement can be programmed into the changing objectives
Orientation	Heavily job-tailored; frequently ignores the man and differences in men	Man-tailored; individual strengths can be capitalized on

limited to a small percentage of an organization's top managers and were usually handed out on a profit-sharing basis in which payments were related more to total organizational performance than to the individual performance of the manager. This too has changed. The percentage of managers covered by incentive plans is on the increase.

Incentive payments are viewed more and more from the standpoint of the contribution of the individual manager. Even though the company as a whole may have enjoyed record profits, there is no guarantee that the individual manager will share in the bonanza. Emphasis is placed on his individual record (results).

Recognizing the limitations imposed by salary payments (fixed vs. variable compensation costs, inability to recognize wide swings in individual performance, and the failure of salaries to emphasize a direct tie-in with profitability), many companies are stressing variable incentive payments over straight salaries. The group of managers whose total compensation contains a significant amount of incentive compensation is definitely enlarging. Arch Patton, a leading researcher on executive compensation, has stated that a successful MBO system in the United States seems to require an incentive plan for sound ongoing administration.[6]

Thus, MBO has reoriented the basis of compensation from nebulous merit to results, changed the emphasis of payments from salary to incentives, and increased the number of managers participating in incentive plans. Of at least equal importance in the rewards process, MBO has provided the possibility for recognizing contributions when promotion time arrives.

Planning

Probably no other aspect of the management process has received such a substantial jolt from MBO as planning has. Formerly, planning was "an exercise in writing" tolerated to satisfy the company's requirements; now, its value and help to the individual manager is increasingly appreciated. More important, the

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[6] Arch Patton, "Does Performance Appraisal Work," *Business Horizons*, Vol. XVI (February 1973), p. 89.

TABLE 3

Example of MBO Job Description

JOB TITLE: Vice-President and General Manager, Operating Division B

PURPOSE
Management of Division B to achieve growth and profits according to approved plans

RESPONSIBILITIES (relatively stable from year to year)
1. Planning to achieve long- and short-term objectives
2. Monitoring the efficient execution of approved plans
3. Development and administration of division policy and procedures and of standards of performance; implementation of corporate policies and procedures
4. Marketing for Division B services
5. Operations—Maintenance
   —Job quality
   —Safety
   —Efficiency
   —Equipment design and construction supervision
6. Personnel and financial services not provided by corporate office

ACCOUNTABILITY
1. Achieve pretax return of 11 percent on capital employed
2. Achieve minimum sales of $27 million
3. Achieve pretax profit of $3 million
4. Increase profit contribution at division level by 4 percent over 1972
5. Develop at least one new product with potential sales volume of $100,000 annually

manager recognizes the real need for planning. He can appreciate why it is necessary.

Edward Green, one of the authorities in the area of corporate planning, has compared what he terms the traditional approach to planning with the more modern approach, which is markedly oriented toward MBO. Table 4 outlines Green's comparison.

Delegation

MBO has at last brought real meaning to the definition of delegation. Formerly, delegation was defined as "getting things done through other people." This wholly inadequate definition failed to recognize that "things" can be good, bad, or indifferent. Unfortunately, the much-touted delegation was approached in the same inadequate fashion.

Now delegation is approached in a manner which is conducive to more positive results. Under MBO, a subordinate is not told to go out and do something or to get things done. Instead, he is delegated specific objectives or end results for which he is accountable. Both he and his boss know the specific end results which he must achieve.

One of the cardinal mandates of MBO is that the manager must have sufficient authority to accomplish his objectives. For the first time, in many instances, managers are receiving clear definitions of the authority they may exercise. Statements such as "he shall enjoy authority commensurate to carry out his job" are rapidly giving way to rather finite statements of authority.

The impact of MBO on the overall management process and especially its effect on delegation have provided a viable foundation for practicing participative management. Delegating by specific objectives permits a manager to determine much of his own destiny—to help set his objectives, to do much of his own planning to achieve the objectives, to operate with the authority he knows he has, and to take the initiative when corrective action is required. The emphasis on delegating end results permits participation and helps considerably in preventing permissive management.

In in era in which one of the popular buzz-words of the day is "job enrichment"—with attention so far directed almost exclusively to the employee instead of the manager—MBO has made considerable strides in enriching the manager's job. The practice of MBO in depth culminates in each manager becoming "president" of his own little "company" within the total organization. When this end is reached, the manager experiences substantial job enrichment because his destiny depends largely upon his own efforts.

TABLE 4

Comparison of Old and New Planning Approaches

	Static Planning (Old Way)	*vs.*	*Dynamic Planning (New Approach)*
Purpose	Get a "plan"		Achieve optimum results
Basic premise	Forecasts are accurate		Future is unpredictable
Technique	Static, periodic		Dynamic, continuous
Process	Rigid, formal, prescribed		Flexible, selective adaptation
Management style	Traditional, authoritative		Decentralized, participative
Responsibility	Top management VP, planning Centralized planning staff		Every manager Director, planning services Decentralized planning coordinators
Types of planning Strategic Operational Logistic	Separate plans		Integrated planning
Functional planning Marketing Financial Personnel, and so on	Separate plans		Integrated planning
Time spans Short Medium Long-range	Separate plans		Integrated planning
Support	Resistance and resentment		Enthusiastic participation
Durability	Tapers off to discouragement		Growing value and enthusiasm
Cost/benefits	Too much time-effort-paper Higher cost Limited benefits		Better decisions and programs Less time and effort Better results

SOURCE: Edward J. Green, "The Communication Crisis," Marshall Allan Robinson lecture, University of Pittsburgh, 1972.

Decision Making

The decision-making process also has come in for its share of change as a result of MBO. Two aspects of MBO have been causative forces in this change. The first is the feedback and data, tailored and directed to the individual manager, and the second is the structuring of strict accountability for each manager.

Feedback—Advocates of decentralization have long advocated that decisions should be made at the lowest possible level of management at which all information necessary to the decision comes together. However, the principle has been honored more in the breach than in practice.

Some of the reasons why the principle was not widely practiced concern the characteristics of the data many managers receive: an overabundance of raw data but little of the selected intelligence required for decision making; data prepared for the needs of the manager's superior instead of for the manager; and data collected for costing and revenue purposes rather than for use by the manager.

MBO places a premium on data prepared under the best principles of enlightened responsibility accounting—the right data, at the right time, at the right place, for the right manager. Now, with in-depth delegation and the proper data, decisions can be made at the lowest possible level, nearest the point of action, and at the time the action is taking place.

Accountability—Prior to MBO's requirement for strict accountability by individuals, decisions often were delayed because of what one writer has referred to as decision drift, that is, the tendency to avoid decision making when it is not clear who should make the decision. Often, the timid manager will purposely delay or ignore making a decision unless he is forced to make it. The undesirable expedient of decision making by committee often results.

MBO, by clearly defining who is accountable for what, pinpoints the manager who should make a particular decision. This has definitely lessened procrastination and avoidance of decision making.

A VIABLE APPROACH

Some Pitfalls

As noted elsewhere in this article, MBO has not been a 100 percent success. Many systems have been failures—absolute failures. Others, while not failing completely, have failed to deliver the benefits of which they are capable—failures by degree. Both types of failures have resulted from succumbing to the numerous pitfalls which can develop in the system.

The experience of various and diverse organizations over roughly twenty years has singled out a number of reasons for the failure of some organizations to make their mark with MBO.[7] The pitfalls include:

Considering MBO a panacea
Lacking participation by subordinates in setting objectives
Leaving out staff managers
Delegating executive direction of the program
Creating a "paper mill" with forms and procedures
Failing to provide feedback to the individual manager
Emphasizing techniques over the system
Implementing too quickly
Failing to reward performance
Having objectives which are not supported by adequate plans
Failing to revise the system based on experience
Being impatient for results
Endeavoring to overquantify objectives
Stressing objectives instead of the system
Dramatizing short-term objectives
Omitting periodic reviews of performance
Omitting refresher training with respect to refinements and managers new to the system
Failing to blend individual objectives into the whole
Managing without the necessary "guts"
Lacking ability or willingness to delegate.

Many of these pitfalls occur from poor initial implementation of the MBO system within the organization. Many of the outstanding MBO failures can be traced to this critical implementation stage—generally in the decision to adopt MBO in the first instance or in the manner in which the system was installed.[8]

MBO Time Shock

The progressive use of MBO within an organization has an attendant time shock to managers. F. D. Barrett, president of Management Concepts, Ltd., describes this shock feature as threefold, coming about when the manager realizes that:

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[7] Adapted from Dale D. McConkey, "20 Ways to Kill MBO," *The Management Review* (October 1972), pp. 4-13.

[8] For an in-depth treatment of implementation, see Dale D. McConkey, "Implementation—The Guts of MBO," *Advanced Management* (July 1972), pp. 13-18.

> Writing meaningful objectives requires several days, not just a few hours
>
> The time required to realize the full impact of MBO is not a matter of months but a few years
>
> A pronounced change takes place in the amount of time the manager spends actually "managing" rather than "doing." Increasingly, doing gives way to managing.[9]

Unfortunately, the impact of this time shock has been too little appreciated by some organizations, and the effectiveness of their MBO approaches has suffered. The impact of this shock—actually it is a necessary period of transition—can neither be ignored nor brought to a forced conclusion. It is as necessary and natural as the progression of a child from adolescence to adulthood. Any attempt to move too rapidly or to fail to gain from the experience arising from the requisite steps will result in an inferior development process.

FUTURE OF MBO

Since the application and impact of MBO are yet unfolding any evaluation must be a dynamic one. However, evidence to date indicates that the effect of MBO has been most dramatic—both on the overall approach to managing and on the many parts of the management process.

Probably its signal benefit has been its insistence on improving organizational effectiveness through improving the effectiveness of the individual manager. This transition has been well summarized by Barrett in his comparison between "Model A" management, pre-MBO, and "Model B" management, after MBO (see Table 5). The average organization—the author dislikes the term but is hard pressed to come up with a better description—should expect that this transition will start to take place three to five years after beginning its MBO system.

TABLE 5

Transition in Management Styles Under MBO

Pre-MBO	*Post-MBO*
Day-to-day managing	Future-focused
Amateur, seat-of-pants	Full-fledged professional
Inward-looking	Outward-looking
Product-oriented	People-oriented
Organization-oriented	Consumer-oriented
Activities-oriented	Results-oriented
Administration of routine	Creation of innovations
Emphasis on "how to"	Emphasis on "what to"
Emphasis on money, machines, materials	Emphasis on people, minds, time
Centralized, technocratic, functional control	Decentralized initiative from subordinates
Authoritarian style	Participative style
Directives and supervision	Delegation and reporting
Individualism	Teamwork

SOURCE: Reprinted by permission of the author, F. D. Barrett, "The MBO Time Trip," *The Business Quarterly* (Autumn 1972), pp. 44-45.

MBO and its benefits are too well established, having survived the test of about twenty years of practice, to be considered a passing fancy or a fad. The system has earned its place as part of the permanent management scene. The future will bring the continued use and increased applications of MBO. Real progress remains to be made in several major areas. Managers must become more adept at setting top priorities. As all of an organization's efforts are geared through MBO to meeting top priorities, management's efforts must be directed to insuring that the most desirable priorities are selected. Otherwise, MBO causes an organization to become increasingly efficient at something it should not be doing in the first place.

Having set the optimum priorities, management must increase its competence in planning to achieve the priority objectives. Failure to develop better planning expertise will render it impossible to exploit the full potential of priority objectives.

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[9] F. D. Barrett, "The MBO Time Trip," *The Business Quarterly* (Autumn 1972), pp. 44-47.

Other areas of the MBO system necessitate continual refinement. For example, even though much excellent work has been done in relating managerial appraisal to actual contribution, more work remains to be done on this subject. Similarly, additional progress must be made to establish a more direct correlation between a manager's contributions and his rewards. The tie-in presently is not direct enough.

Lastly, the effectiveness of MBO in general will continue to suffer unless an organization's management recognizes that the key word in Management by Objectives is "Management" and not "Objectives." MBO is a whole new way of life for many organizations. It is a way of managing. Those organizations which embrace the system without recognizing this and without first examining their management philosophy and practice will continue to adopt MBO on a "planned failure" basis. Even worse, they will become easy prey for the increasing number of MBO advocates with a solution who are running around looking for a problem.

The utilization of the remarkable and continuing growth in numbers of workers in the "knowledge industry" represents another area of high potential payback from MBO. The system has much to commend it for application to these workers. The failure to align their efforts to priorities and full utilization of their talents will constitute a costly oversight for their organizations.

Experience has proven that MBO, by itself, will accomplish nothing but chaos. In the hands of a capable management which is ready for it and knows how to use it, it has much to offer. For the right management, it holds promise of a bright future.

Robert O. Stanton, "Applying the Management-by-Objectives Technique in an Industrial Library," *Journal of the American Society for Information Science*, 26:313-317, November/December 1975. Copyright © 1975 by the American Society for Information Science. Reprinted by permission.

Applying the Management-by-Objectives Technique in an Industrial Library

An experimental "management-by-objectives" performance system was operated by the Libraries and Information Systems Center of Bell Laboratories during 1973. It was found that, though the system was very effective for work planning and the development of people, difficulties were encountered in applying it to certain classes of employees, particularly those doing public service or routine work.

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• Introduction

For ten years leading up to 1973, the Libraries and Information Systems Center of Bell Laboratories used a trait-oriented system for appraising the performance of its professional and managerial employees. Employees were rated annually by their supervisors in each of 13 co-equal categories (*e.g.*, reasoning and judgment, initiative and drive, position performance, cost control, planning and foresight, etc.) using five performance levels ranging from *Outstanding* to *Unsatisfactory*. The system took no special account of functions carried by library employees since it was designed to be used not only by the libraries but also by several other staff and service organizations.

In 1972 a committee, of which the author was a member, was appointed to study the effectiveness of this performance appraisal system. The committee, after interviewing most supervisors and their subordinates and studying past results from the performance appraisal system, came to the conclusion that the system had not worked well for a number of reasons. These were summarized as follows:

1. Difficulties experienced by supervisors in applying the system evenly to a diverse group of people performing a wide variety of functions.
2. Problems encountered by some supervisors in insulating their decisions against their own biases.
3. The difficulty experienced by both supervisors and subordinates in relating the system to actual work performed by the subordinates.
4. A feeling on the part of most people that the system did not contribute significantly to either employee development or work planning, both of which were considered to be very important management functions.

The committee proposed that in place of this trait-oriented system a *joint target-setting* or *management by objectives* (MBO) system be adopted. This proposal was accepted by the Director of the Center and it was decided to test the new system experimentally during the period January to June 1973. It was later agreed to continue experimental operation through the end of 1973 as well.

Management by objectives, which one author defines as "... a strategy of planning and getting results in the direction that management wishes and needs to take while meeting the goals and satisfaction of the participants" (*1*) has been around for a long time although the term management-by-objectives was first introduced by Peter Drucker (*2*) in 1954. Many books treating the subject in general have been written in recent years including those by Mali, (*1*) Morrisey, (*3*) Odiorne, (*4*) and Reddin (*5*). Most authors deal with management by objectives as a technique to be used primarily in a line environment (sales, marketing, production, etc.) and primarily with managers. Staff, service or professional functions have not been discussed to any great extent except in a book by McConkey (*6*) who has written on the application of MBO to a staff environment.

Six recent papers discuss the employment of this technique in libraries. Johnson (*7*) and Sheparovych (*8*) write about the use of MBO in planning and carrying out projects in an academic library. The systems described in these papers give greatest emphasis to the work planning aspects of MBO and less to personnel development. Peele (*9*) and Mason (*10*) present MBO as one technique which library or information service managers should consider using. Jones (*11*) discusses the application of MBO in a university library for both work planning and employee development. Michalko (*12*) deals with the possibilities and difficulties which attend using this technique in an academic library.

• The Test Group

To launch the project described herein, separate meetings were held with supervisors and their subordinates for the purpose of explaining the system in detail and answering participants' questions. The comments and questions received during these meetings indicated that most people viewed the test optimistically and were prepared to take part in it with some enthusiasm.

The group of 31 professional and administrative people who were involved in the test included a wide range of specialists. In addition to supervisors, there were reference librarians, catalogers, foreign language translators, information scientists (doing literature searching), system designers and programmers, and literature analysts. As will be explained later in this article, this diversity turned out to be one of the more significant factors in the results obtained from the test.

• How the System Worked

Fig. 1 is a diagram showing how the system worked. A management by objectives system is intended to flow largely from the top of the organization downward, although feedback from all levels is a necessary part of the system. In this instance, therefore, the process began with the establishment of broad goals for the Libraries and Information Systems Center by the Director of the Center. This was a very important step, requiring considerable planning, since the Director's goals to a great extent set the tone, if not the substance, for many of the goals assigned to other members of the Center. From there, supervisors and subordinates, working down through three levels of organization, completed the steps described in boxes B through E.

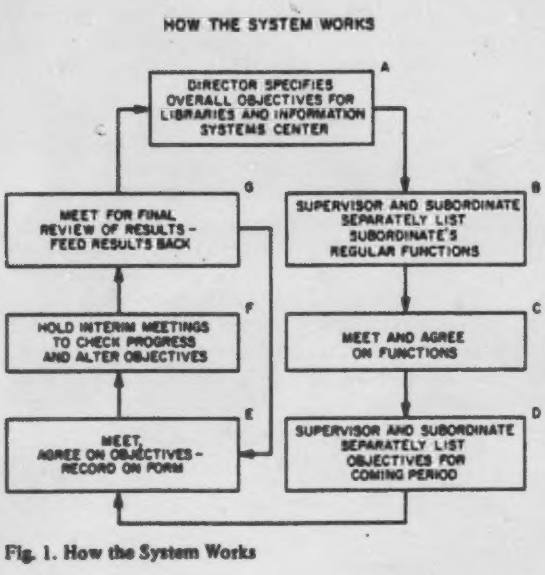
HOW THE SYSTEM WORKS
A
DIRECTOR SPECIFIES OVERALL OBJECTIVES FOR LIBRARIES AND INFORMATION SYSTEMS CENTER
B
SUPERVISOR AND SUBORDINATE SEPARATELY LIST SUBORDINATE'S REGULAR FUNCTIONS
C
MEET AND AGREE ON FUNCTIONS
D
SUPERVISOR AND SUBORDINATE SEPARATELY LIST OBJECTIVES FOR COMING PERIOD
E
MEET, AGREE ON OBJECTIVES - RECORD ON FORM
F
HOLD INTERIM MEETINGS TO CHECK PROGRESS AND ALTER OBJECTIVES
G
MEET FOR FINAL REVIEW OF RESULTS - FEED RESULTS BACK

Fig. 1. How the System Works

Each job within the Center has an official job description which is used as part of a company-wide position evaluation system. These descriptions are usually written in very general terms, and so it was decided not to use them as the basis for this test. Instead, in the first step (B), each supervisor and subordinate in a given pair were asked to prepare separate specific lists of what each understood the subordinate's regular responsibilities at that time to be. They next met (C), compared their lists and agreed on a common list. This list was then used separately by each to prepare suggested lists of targets or objectives to be met during the coming six months (D).

A second meeting was held at which the separate lists were discussed, the end result being a single list of objectives, agreed upon by both parties and recorded on an official form (E). Copies of the form were given to both parties. As an example, Fig. 2 shows a list of objectives for a Circulation Supervisor.

The supervisor's input to this objective list was drawn partly from his or her own objectives, some of which had, in turn, been derived from objectives handed down from higher management levels. Consideration was given to personal development objectives (*e.g.*, completing a course in PL-1 programming), as well as those relating to work performance. An attempt was made to quantify each objective in terms of amounts, percentages, time or some other explicit yardstick, so as to have a standard against which to measure progress in the coming months.

Thereafter, supervisors were encouraged to have periodic discussions with their subordinates about progress

1. Prepare a plan that will provide for a regular 5-6 day average turnaround time for announcement bulletin photocopy requests. (Feb. 1)
2. Prepare and implement a specific plan for maintaining library shelves in good order, including specific assignment of responsibilities, schedules and standards of performance. (Mar. 1)
3. Develop a plan for reorganizing the circulation staff. (Feb. 1)
4. Prepare a preliminary plan for the movement of library collections into new library quarters. (June 30)
5. Establish specific requirements for following up on three types of management reports issued by the computerized loan system. (Feb. 1)
6. Prepare the staff for a reevaluation of their positions and arrange for the reevaluation to be done. (May 1)

Fig. 2. Circulation Supervisor Objectives

in meeting their objectives—Fig. 1 (F). At least quarterly discussions were mandated by the system, including a final review (G) at the end of the performance period. During these review stages, the system provided for the deletion of no-longer-valid objectives, the alteration of objectives, or the addition of new objectives, as warranted by conditions and agreed upon by both parties. At all levels, results were fed back up through the organization, some returning eventually to the Director for incorporation into the libraries' future objectives.

• The Test

The test was started following the steps outlined above. After about a month, a meeting was held with supervisors at which they were encouraged to share their experiences in carrying out the new system. A number of problems were raised and some suggestions were made for improving the design of objectives. It was decided, however, that experiences to that point were generally good and that the test would be continued as planned.

• Data Collection

An important aspect of the management by objectives technique is the strong involvement of all employees, supervisory and non-supervisory, in the entire process. There was, therefore, a great deal of interest in collecting opinions about the test from these employees. Two separate questionnaires were distributed to all participants—one at the beginning of the initial 6-month test (after objectives had been set) and one at the end (after the final progress review). Some of the more significant statistical results are given in Fig. 3.

At the Beginning of the Test

- 80% said that there was almost complete initial agreement with their supervisors on their objectives.
- 70% felt that their objectives were reasonable.
- 80% felt that their objectives provided a basis for measuring their overall performance during that period.

At the End of the Test

- 76% felt that their objectives had been reasonable.
- Progress discussions were held with supervisors an average of two times during the six months.
- 40% considered the system a good one for measuring overall performance—another 40% considered it good but with reservations.
- Where objectives were not met, 82% felt that their supervisors had an adequate understanding of the reasons.

Fig. 3. Some Results from Questionnaires

In addition to statistics, a substantial number of very relevant comments were also received; a few of these are given in Fig. 4. The results show that most people had a benevolent attitude toward the test and the system in general but that they recognized some significant weaknesses in the way it was operating. Most particularly, the message came through that, in its present configuration, the system could not substitute in kind for the earlier trait-oriented system as an overall performance appraisal system. These inputs were all very useful in planning changes in the system, and in making an assessment of its application in a library environment.

- "I think it tends to create a piecework, factory atmosphere."
- "The most useful part of the system is improved communications between the supervisor and employee."
- "I don't think this system is appropriate for people doing routine work."
- "The objective system made it apparent that normal operational responsibilities occupy a much greater portion of the overall available time than we had thought. We should try to formulate quantifiable goals for more aspects of routine operations."
- "I seemed to work harder with this system."

Fig. 4. Comments from Participants

As stated earlier, a major factor often used in predicting the effectiveness of an MBO system is the degree to which objectives are quantified. To help measure the participants' success in doing this, objectives set for the January to June 1973 period were analyzed and the results compared against a similar analysis of objectives set for the July to December 1973 period. Fig. 5 shows the results. As can be seen, apparently a great deal was learned about writing quantifiable goals after the first attempt.

(51)

Categories	Period	
	Jan-June	July-Dec
Total Objectives	197	179
Average Number per Employee	7.3	6.9
Number Quantified	131	165
Number Not Quantified	66	14
Percent Quantified	66.5	92.1

Fig. 5. Analysis of Objectives

• Advantages

Having run this local brand of a management by objectives system for two 6-month periods, some pretty firm conclusions about both the advantages of this technique and the problems associated with it have emerged.

Most of the advantages are not unique to MBO and would be categorized as good management practices under any system. Here, stated briefly, are three of the more significant.

1. It provides a framework within which programs for a given period can be discussed and scheduled. Though this activity had been carried on before, it had not been done in an organized and concerted way such as that afforded by the MBO system.
2. It gives employees specific targets to work against and they therefore know more specifically what is expected of them.
3. It encourages periodic reviews between supervisors and subordinates, in a nonthreatening environment, of what the subordinates are specifically assigned to do. Performance reviews based on the earlier trait-oriented system, being essentially judgmental in nature, were often avoided by supervisors. Since reviews under the MBO system are mostly nonjudgmental work discussions, supervisors carry them out and subordinates accept them much more willingly.

• Problems

There were also a number of problems, some of which have already been solved, while others are still being studied. These are the main ones.

(52)

1. For some functions it is very difficult to write objectives which can be measured quantitatively. In some cases the problem is compounded by the fact that the functions involved are among the principal ones assigned to a jobholder. This problem is apparently not unique and is often encountered in MBO systems, particularly among staff or service jobs. One author, Mason (*10*), discusses it from a library point of view:

   > "However, the sort of thing that can happen, which leads to cynicism about MBO, is the introduction of the system by a company and the insistence of higher management that all increased performance shall be measured quantitatively. In most service environments this leads to difficulty, but for suppliers of information it is a real problem. . ."

   The job of Reference Librarian typifies the difficulties encountered in writing goals for a professional library function. The main function of a Reference Librarian is answering reference questions. What are some of the objectives which might be assigned to this function? Here are some possibilities:

   a. Interrogate requesters skillfully so as to determine as precisely as possible what the requester needs.
   b. Search for the requested information efficiently, selecting the most likely sources for searching, the order in which they will be searched and the most efficient search pattern in each.
   c. Respond promptly to a request.
   d. Provide only relevant information.
   e. Provide enough information but do not overwhelm the requester with too much.
   f. Give a negative response only after all known sources of information have failed.
   g. Leave an impression with the requester that you are interested in the request and wish to be helpful.

   Each of these objectives includes an indication of the results expected but stated in qualitative terms. To put them in quantitative terms that would also be meaningful would be very difficult if not impossible. For example, item c. could be rewritten to say "Respond to all requests within 15 minutes." This would be a measurable objective but it would not tell us much, since some questions may require even a top performer an hour to answer, while others may take only two minutes. One reason for the difficulty in writing objectives for this function may be that the response to a given reference question is highly personalized, unpredictable and quite difficult to measure against responses to other questions. Probably the only person qualified to measure this response is the recipient of the service. Possible ways of bringing the recipient into the measurement process are therefore currently being explored.
2. As a result of difficulties in writing objectives for some main functions, there is a tendency to load employees with special projects sometimes at the expense of these main functions. Also, some employees volunteer for more special projects than they can handle, because they feel that is what is expected of them. Supervisors must be particularly aware of these possibilities and take steps to resist them.
3. There is a tendency for objectives to be assigned unevenly; some people get difficult lists while others get what some would consider "easy" lists. This is not necessarily bad if the supervisor has allowed it to happen for specific developmental purposes. For example, a normally poor performer might be given a list of objectives which to many would be easy but to that person may be barely attainable. The purpose in this might be to encourage greater effort by an employee who would be completely discouraged by a more difficult list.
4. The higher the level of supervision to which objectives are applied, the greater a tendency for them to become less specific and therefore

more difficult to measure. For example, the Circulation Supervisor may have had as an objective the handling of all telephoned book loan requests within one hour. The next higher level of supervision may have had as an objective improving the turnaround time for telephoned book loan requests and the top level, from which the original assignment arose, improving the book loan service.

5. The system consumes more time than some supervisors feel they can afford. However, the time is spent in communicating with employees on significant work assignments and that is what supervision is all about.

• How We View the Management by Objectives Technique Now

In the beginning it was intended that this system provide data to be used in measuring the overall performance of each professional employee in the Center. Experience has shown that it does not quite work out that way. In the case of some employees, particularly those who have basically project-oriented jobs, such as system designers, virtually all of the employee's functions can be covered by measurable objectives. In other cases, particularly those persons who have primarily public service jobs or who do mostly routine work, only a minor part of the employee's functions has been adaptable to this treatment.

It has therefore been decided that the MBO system, as originally designed, can supply only part of the input needed in the overall performance measurement process, and that it will have to be supplemented by a review of each of the incumbent's other responsibilities at all stages of the MBO process. It is very likely that, as time goes on, ways will be found to write measurable objectives for some of those responsibilities which have defied attempts up to now. However, it is likely that many responsibilities will have to be dealt with on a more general level indefinitely.

With this more realistic view of the limitations of MBO, we feel the system has been well worth the time and effort it has required. It has therefore been incorporated as a regular part of the management of the Libraries and Information Systems Center.

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Employee motivation through job enrichment

By J. MARK BUDD

■ Altering the job content as a means of solving employee motivation problems, *i.e.*, job enrichment, is a new concept of the last 15 years which is being vigorously pursued, developed, and tested by many management groups. Job enrichment is a systematic attempt to restructure jobs to obtain improved worker motivation. This definition implies two things: First, it focuses primarily on job redesign, and second, it has the objective of creating a situation in which the worker obtains intrinsic motivation from the work that he does.[1]

History of Job Enrichment

One of management's biggest concerns has been how to effectively utilize and motivate employees toward higher productivity, reduced employee turnover, and general job satisfaction. The theories of Taylor and Gilbreth, commonly referred to as scientific management, stress incentive pay, methods engineering to make work easier, and improved working conditions as the main criteria for motivating workers to high levels of productivity. These theories, developed around the beginning of the century, were accepted and incorporated into management practice and to a great extent still exist today.

Beginning with the Hawthorne plant studies in the 1920's, industrial psychologists became seriously concerned with the measurement, interpretation and implications of employee motivation in the organization. In the late 1950's and early 1960's, Professor Fredrick Herzberg, a psychologist at Case Western Reserve University developed the hypothesis that job satisfaction and job dissatisfaction were not simple opposites. Instead, he thought each condition arose from different sources. Through supportive research, he developed his "motivation-hygiene" theory explaining that the feelings of strong satisfaction at work were a result of achievement, recognition, the work itself, responsibility, advancement, and growth. "These factors—the work motivators—are task-oriented, and they concern the content of a particular job."[2]

The major contribution of Herzberg is not that his ideas differed significantly from others, but rather that he has succeeded in communicating his ideas to company managements. A survey conducted by Davis, Carter, and Hoffman (1955) demonstrates the feelings of organizations prior to Herzberg's findings. They found that the vast majority of companies designed jobs to minimize training costs through worker specialization, and concluded "none of the companies reported considering alteration in job content as a possible remedy for problems of low productivity, poor quality, high employee turnover and excessive numbers of transfer requests."[3]

As a result of Herzberg's work, many feel that the answers to employee motivational problems are to be found in the design of the work itself. One of the more bold and optimistic endorsements of this belief has been made by Mr. Harry Holloway, a vice president in the Bell System. He predicts that we are on the brink of a new age of technology. Just as there was an Industrial Revolution in 1770 and a Scientific Management Revolution in 1870, we are now entering the Manpower Utilization Revolution in the 1970's.

Although job enrichment is still very much in the experimental stage, enough research studies have been reported to allow us to build general support for programs in job enrichment. Let us take a closer look at some of the more interesting studies which have had success in verifying job enrichment theories, proposing models for work improvement through job enrichment, and in developing of useful job redesign methods.

The studies selected are basically studies of white

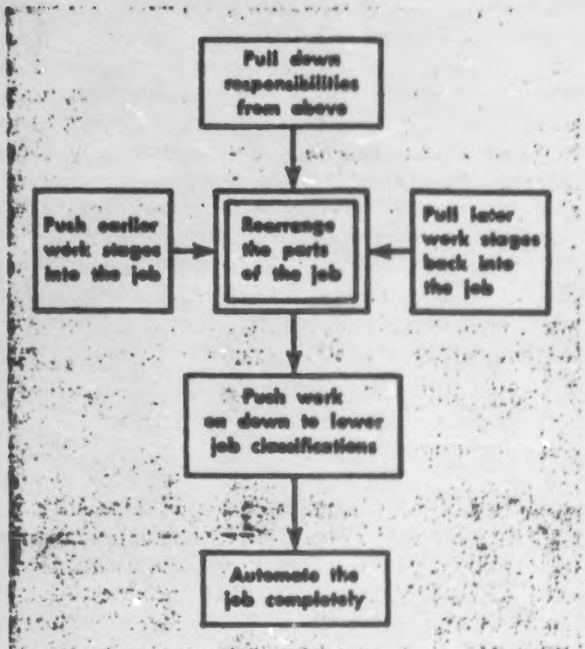
Pull down responsibilities from above
Push earlier work stages into the job
Rearrange the parts of the job
Pull later work stages back into the job
Push work on down to lower job classifications
Automate the job completely

Figure 1

collar workers and light assembly operations. There is no discussion of the effects of job enrichment on labor unions.

Empirical Study

The Imperial Chemical Industry studies evaluated Professor Herzberg's concept of job enrichment in terms of: (1) how consistent and generalized they compare to other studies; (2) the feasibility of making changes in the workers' jobs; (3) what ultimate consequences will result from these changes; and (4) how the concept of job enrichment could be most effectively applied in furthering the attainment of corporate business objectives.

The methodology used placed three constraints on the study to help isolate other variables which could interfere with the results. First, no deliberate changes were made in matters such as pay security, or working conditions. Second, because of normal uncontrollable changes in the hygiene factors, researchers set up an experimental group, for whom the specific changes in job content were made, and a control group, whose job content remained the same. Third, the studies were made unknown to the workers so they would not behave in an artificial way.

The success or failure of these studies was to be determined through measurement of performance and job satisfaction before the study began and one year after it was implemented. The jobs chosen were laboratory technicians, sales representatives, design engineers, and factory supervisors. Besides incorporating the job enrichment factors in their area of technical competence, they were given some freedom to control some financial decisions, and they were given some managerial responsibility.

The results from the job reaction survey and performance measures of each of the different job categories were positive. Job satisfaction increased with the experimental group in each job class while the control group stayed constant and in one case even deteriorated. Performance was not measurable in all jobs studied, but it did increase in those jobs which were measurable, such as for sales representatives. However, comments and observations in the unmeasurable performance areas showed that there was a greater involvement of those who were in the experimental group.

The main conclusions of the study were threefold. First, the job enrichment studies can be applied to many different jobs and can produce meaningful results even in jobs where performance measures are not easily available. Many skeptics of job enrichment are quick to point out that these studies basically dealt with white collar workers. They question how effective it would be in situations with unskilled heavy assembly line workers.

Second, it was discovered that it was nearly impossible to predict how persons would react to job enrichment measures. In many cases, the employees who were expected to respond poorly did well. Therefore, it is important not to make changes in jobs selectively according to how you perceive people's ability and responsibility.

Finally, "management becomes a service, with its purpose to enable, encourage, assist, and reinforce achievement by employees. Task organization and task support are the central features of the manager's new role."[4] In other words the authors have concluded, "if the job itself is the prime vehicle of indi-

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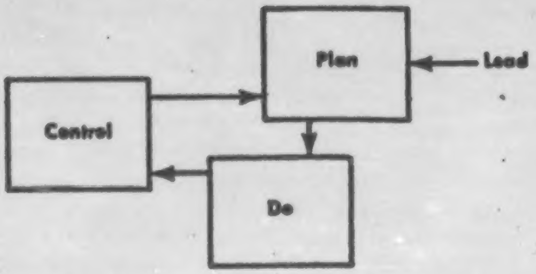

Figure 2

vidual development, task support is the means by which management can influence it."[5]

Job Design Models

A second group of studies conducted at American Telephone and Telegraph by Dr. Robert Ford are generally recognized as the most successful studies on job enrichment techniques. Between 1965 and 1968, 19 studies including more than 10,000 employees in jobs ranging from line repairmen to service operators produced significant motivational changes resulting in productivity increases.

Dr. Ford's strategy for developing job enrichment "can be broken down into three aspects—improving work through systematic changes in (a) the module of work, (b) control of the module, and (c) the feedback signaling whether something has been accomplished."[6] Ford was convinced that when there was a problem it was because no one was clearly responsible for a job task or unit of work. He felt that if a task or work module were changed in the proper way employees could begin to more easily identify their work task with the product or clients with which they were dealing. In other words, Ford is saying that when the work is right the employee attitudes are right.

A model was developed to show the steps taken in AT&T's program of job improvement. The model showed that the work module is developed by rearranging the present parts of the job as well as adding to the job horizontal and vertical responsibilities. Also, an attempt was made to automate or to give a lower classification to parts of the original job which did not fit into the job design strategy. (See Figure 1.) The difference between the horizontal and vertical loading is that horizontal loading is simply the enlarging of the job or rearranging its parts, while vertically loading the job provides true work motivation by improving the work itself, *i.e.*, job enrichment.

The process for determining how each specific job in the program is to be enriched is determined by supervision. When a certain job is being enriched, supervision meets with a specially trained management team to determine what should be included in the work module. When the redesigning of the work module is completed it is implemented. First, the horizontal job enlargement aspects are added. Then as soon as the supervisor feels the employee is ready the control aspects, job enrichment, are offered to the employee. The success of each effort at enriching a person's job depends on his willingness and ability to accept the control of the module. At this point, if the work module has been properly defined, the feedback system will begin to let the employees know how well they are doing their work tasks.

Sharing Responsibility

A third group of studies on job enrichment conducted by M. Scott Myers at Texas Instruments has taken a slightly different approach from Ford's model used at AT&T. Myers believes that the responsibility for improving the work should be shared with the employees. He refers to this concept as "every employee a manager." Therefore, his model for enriching the employees' jobs includes the additional element of planning and organizing as well as the control and the "do" part of the job which are found in Ford's model.

Myers believes that "job enrichment depends on the style of supervision as well as job requirements and is not simply a matter of duplicating patterns of work and relationships found to be successful elsewhere."[7] He views most management jobs as having meaningful, satisfying aspects closely aligned to their personal goals which promote involvement in work and positive job attitudes. He concludes that if these same conditions existed in the workers' jobs they too could share the same positive involvement which will promote higher productivity and a multitude of other desirable factors for the organization.

The model developed to show how meaningful work is accomplished at Texas Instruments shows job enrichment as a repeating process (see Figure 2). The plan phase includes the planning and organizing functions of work management and consists of problem solving, goal setting, and planning the use of manpower, material, and systems. The "do" phase is the implementation of the plan ideally involving the coordinated expenditure of physical and mental effort utilizing aptitudes and special skills. Control is the feedback and correction process for measuring achievements against planned goals. Feedback gives work its meaning, and its absence is a common cause of job dissatisfaction. The measurement, evaluation, and correction functions of the control phase are the basis for recycling, planning, doing and controlling.[8]

The objective of the job enrichment program at Texas Instruments is to create self-managing jobs similar to the jobs of people who are self-employed and work for themselves.

The job enrichment models designed by Ford and Myers are extremely useful in presenting their views, but one must keep in mind that the topic is extremely complex and not nearly as manipulatable as the models might suggest.

Industrial Engineering Program

One of the more interesting studies found in the literature on job enrichment is an ongoing program being conducted by an industrial engineering department in an unidentified company. The philosophy of the manager in the department was that "the continued success of the company depends upon the effective use of its resources—in particular, the brain power of all its people."[9] They had developed a check list of nine factors which they used when redesigning a job. The function of the check list was to attempt to include more problem solving activity and control opportunity in their job design. The nine factors are:

1. Can we add autonomy to the job? Can those affected by the design be involved in the redesign themselves? Is there some degree of decision making involved? Can planning or controlling elements be added to the doing elements? Can a team relationship contribute by providing internal autonomy?
2. Does information flow contribute? Can information be routed to support autonomous action and decision making? Does it support learning on the job? Is there a means for measuring achievement? Have the means been provided for developing skill and knowledge?
3. Is the job reasonably demanding (other than physically)?
4. Does the work give a semblance of a meaningful completed, useful task? Does the job require sufficient care or skill to be worthy of respect? Can we add or delete parts of the job, provide rotation, or establish a team to accomplish this? Are there other ways to provide social support and recognition at the workplace?
5. Does the job make a perceivable contribution to the utility of the product for the consumer? Can the individual identify what he does in a way that will command respect of others outside as well as inside the plant?
6. How are the boundary conditions handled which are likely to be sources of conflict? (Shared responsibilities for areas, equipment, timing, quality, services, preparation of equipment, materials, and so on.) Have we looked at alternatives for resolving these, such as specifying boundaries, encompassing them in a team-shared responsibility, and sharing them by rotation?
7. Is there an optimum length of work cycle to avoid too much finishing and starting and to permit building a rhythm?
8. Is there high stress on the job? (Timing, workload, isolation, potential loss.) Can it be alleviated by rotation, interlocking tasks, proximity to other people, membership in a team?
9. Can the man go on learning? Is there a desirable future which he can see?

Two results reported had to do with the impact of job redesign on first line supervision, and the interdependence of modern job design on a total organizational development program. In one instance the redesign of operator jobs resulted in the elimination of several supervisors, especially on the second and third shifts.

This approach represents a new role for industrial engineering. "We industrial engineers need to find ways to do more teaching and helping and concentrate less on controlling what people do!" Furthermore, a new demand on the industrial engineer is that he pay ". . . more attention to the human content of the system he is studying and prepare himself with enough behavioral science background to do a better job of integrating men and machines!"[10]

Conclusions From Studies

Several general conclusions can be drawn. The most popular result cited is the positive effects job enrichment has on job satisfaction, increased productivity, reduced costs, accelerated learning time, reduced employee turnover, and general improvement in the effectiveness of the work groups. However, not all of the work groups or individuals involved showed improvement. The amount of success seemed to vary from work group to work group and by type of job. Some workers did not want their job to be changed and some supervisors refused to cooperate.

A second conclusion is that the real threat of job enrichment is not in the redesigning of the employee's job but rather to the supervisor from which the control aspect of the new job design is taken. This means the supervisor must change the scope of his job to include more planning and less direct control over the worker. Much of the resistance to redesigning jobs results from the inability or unwillingness of supervisors to change.

The third conclusion, which I believe to be the most important, is job enrichment can only be successful if it is in the context of a total program of organizational development. Fred Foulkes in his book, *Creating More Meaningful Work*, has hypothesized that "job design work, to be effective, must be associated with a program of organizational development, including changes in management philosophy, practices, training and development, and the like, that is congruent with the new job design."[11] His arguments and examples leave little doubt job enrichment can not exist as an independent entity.

Summary

One question which has not been answered is:How does one measure the point at which job specialization and boredom with the work result in diminishing returns? There must exist some level of specialization and some number of boring repetitious tasks beyond which the employee's morale, productivity and other aspects begin to deteriorate.

Erich Fromm has hypothesized that boredom on the job makes people violent and destructive and become saboteurs of their own work. If this is in fact true, management should be interested in the "break-even-point" of specialization and boring tasks.

Professor David Lawless in his book answers the question by saying, "as long as the humdrum and meaningless bits can be seen in the context of something important, what does it matter. Emptying bedpans or changing sheets for a cancer patient can be considered as part of something both valuable and interesting."[12]

It would seem that we should address ourselves to problems such as this when attempting to alter job content to increase employee motivation through job enrichment. ●jsm

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1. John W. Anderson, "The Impact of Technology on Job Enrichment," *Personnel*, September-October, 1970, p. 30.
2. Fred K. Foulkes, *Creating More Meaningful Work*, (New York: American Management Association, Inc., 1969), p. 98.
3. John W. Anderson, "The Impact of Technology on Job Enrichment," *Personnel*, September-October, 1970, p. 29.
4. W. Paul, Jr., K. Robertson, F. Herzberg, "Job Enrichment Pays Off," *Harvard Business Review*, March-April, 1969, p. 77.
5. *Ibid*, p. 78.
6. Robert N. Ford, "Job Enrichment Lessons from AT&T," *Harvard Business Review*, January-February 1973, p. 97.
7. M. Scott Myers, "Every Employee a Manager," *California Management Review*, Spring, 1968, p. 10.
8. *Ibid*, p. 12.
9. Fred K. Foulkes, *Creating More Meaningful Work*, (New York: American Management Association, Inc.) 1969, p. 153.
10. *Ibid*, p. 169.
11. *Ibid*, p. 185-186.
12. David J. Lawless, *Effective Management a Social Psychological Approach*, (New Jersey: Prentice-Hall, Inc.), 1972, p. 17.

Motivation: A Vital Force in the Organization

Module IV:
The Manager's Role in Motivation:
Leadership Styles

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OBJECTIVES FOR MODULE IV

The purpose of this module is to introduce you to the importance of the leadership role played by supervisors and managers, and the impact of leadership behavior upon subordinates. Moreover, the potential impact of that behavior upon the motivational climate and overall effectiveness of the organization will be explored.

Specifically, after completing this module, and the readings, you should be able to:

- discuss various models for analyzing leadership style in your organization

- relate various models for analyzing leadership style to your own library or information center

- assess your own leadership style and your attitude toward theories of leadership style in general

- identify some of the factors which might influence the style(s) of leadership most appropriate to your situation

- discuss the importance of leadership style in creating a better motivational climate in your organization.

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TOPIC I: MANAGEMENT AND LEADERSHIP

If you are a manager or a supervisor, YOU are a leader! Have you ever thought about the way in which you function in this role? Managers and management scholars have long acknowledged the importance of leadership as a key ingredient in the effective management of an organization or work unit. It is widely agreed that managers and supervisors should be effective leaders and exhibit leadership qualities. Managers and supervisors are continually confronted with a variety of problems in planning, organizing, staffing, and controlling their organization or work group. The resolution of these problems requires them to guide and influence others to work together toward agreed-upon goals. Leadership, then, can be defined as a person's ability to influence and direct the actions of others. Some typical definitions of leadership from the management literature follow:

- The relationship in which one person influences others to work together willingly on related tasks to attain that which the leader desires.[1]
- The art or process of influencing people so that they will strive willingly toward the achievement of group goals.[2]
- The process of influencing the activities of an individual or a group in efforts toward goal achievement in a given situation.[3]
- A person's ability to guide, influence, and direct the actions of others in such a way as to gain their willing cooperation in doing a job.[4]

After a thorough analysis of the literature on leadership, Ralph Stogdill attempted to classify the diverse range of definitions that have been offered for leadership. Based on this analysis, he developed a classification scheme which included the following categories:

Leadership as:

- the focus of group change, activity, and process
- the art of inducing compliance
- the art of exercising influence
- a form of persuasion
- a differentiated role (a role defined by the group or the situation).[5]

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[1] George R. Terry. *Principles of Management.* 5th edition. Homewood, Illinois: Irwin, 1968, p. 450.

[2] Harold Koontz and Cyril O'Donnell. *Management: A Systems and Contingency Analysis of Managerial Functions.* 6th edition. New York: McGraw-Hill, 1976, p. 587.

[3] Paul Hersey and Kenneth H. Blanchard. *Management of Organizational Behavior: Utilizing Human Resources.* Englewood Cliffs, New Jersey: Prentice-Hall, 1972, p. 69.

[4] M. Gene Newport. *The Tools of Managing.* Reading, Massachusetts: Addison-Wesley, 1972, p. 114.

[5] Ralph M. Stogdill. *Handbook of Leadership.* New York: The Free Press, 1974, pp. 7-15.

The diversity of these definitions suggests the difficulty that scholars have had in conceptualizing leadership and the resulting problems in applying leadership research and theory to the practical level of management: the day to day management of organizations.

Every manager or supervisor is expected to function in a leadership role in the organization. They assume this role by virtue of the authority vested in their position in the hierarchy. Superior/subordinate relationships imply a leadership role for the superior whether the incumbent is prepared to assume this role or not. The extent to which this leadership role is successfully asserted is further dependent upon its acceptance by the subordinates. Most of us assume this role with little understanding or formal preparation for it.

TOPIC II: LEADERSHIP TRAITS

The research on leadership has failed to develop any clear prescription for practicing managers. Early research on leadership was concerned with identifying traits that were common to effective leaders. The findings, while far from conclusive, suggested that leaders tended to be of higher intelligence than the group and were characterized by superior judgment, decisiveness, knowledge and fluency of speech. Personality, social and task related characteristics were also the focus for numerous studies. After carefully analyzing most of the significant research concerned with the trait theory of leadership, Stogdill observed the following characteristics of leaders:

- a strong drive for responsibility and task completion
- vigor and persistence in pursuit of goals
- venturesomeness and originality in problem solving
- drive to exercise initiative in social situations, self-confidence and sense of personal identity
- willingness to accept consequences of decisions and actions
- readiness to absorb interpersonal stress
- willingness to tolerate frustration and delay
- ability to influence other persons' behavior
- capacity to structure social interaction systems to the purpose at hand.[6]

Stogdill concluded that "the clusters of characteristics listed above differentiate 1) leaders from followers; 2) effective from ineffective leaders; and 3) higher echelon from lower echelon leaders. In other words, different strata of leaders and followers can be described in terms of the extent to which they exhibit some of [these] characteristics."[7]

The problems that arise in trying to apply the research from this "trait" approach are several. In the first place, the emphasis is on the characteristics of leaders to the point of ignoring attributes of the followers, and consequently the interaction between the two. Secondly, it implies that these characteristics are inherent in the individual leader (e.g., you either have it or you don't). Therefore, the results offer little concrete direction in training leaders or preparing individuals to assume leadership roles.

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[6] Stogdill, p. 81.
[7] *Ibid.*

TOPIC III: STYLES OF LEADERSHIP

Another approach to the study of leadership has concentrated on the behavior patterns of leaders vis a vis subordinates, or *styles of leadership.* Various researchers and theorists have attempted to delineate a classification of leadership styles. This is usually presented in the framework of autocratic versus democratic styles.

Some autocratic leaders rely heavily upon the formal authority (and the resulting influence and power) inherent in their position in the organizational hierarchy. They trust their own best judgment on most matters and seldom consider their subordinates' points of view. They are dependent upon issuing orders and directions and expect unquestioning compliance.

Democratic leaders respect the authority inherent in their positions, but recognize their vulnerability without the acceptance of their leadership by subordinates. They respect and solicit the judgment and advice of subordinates and try to develop a team spirit within the work group. They are willing to assume responsibility for decisions made by their subordinates.

Although you may have had the experience of working under a supervisor or manager who displayed one of the above general behavioral patterns during your working career, more often than not, a manager assumes an attitude somewhere between these two extremes. Therefore, such models of leadership style are generally presented as a continuum between the pure autocrat and democrat. An illustration of this type of continuum model is seen in the leadership component of a scale devised by Rensis Likert for assessing different management systems of organizations (see Table 1 below). Under the heading "Leadership processes used", he identifies three variables which differentiate an autocratic system (System 1) from a democratic system (System 4). In any given organization or organizational unit, the leadership style may be anywhere between autocratic and democratic with two general intermediary systems, namely, benevolent autocratic (System 2) or consultative (System 3).

Table 1. Organizational and Performance Characteristics of Different Management Systems*

Organizational variable	System 1	System 2	System 3	System 4
Leadership processes used				
Extent to which superiors have confidence and trust in subordinates	Have no confidence and trust in subordinates	Have condescending confidence and trust, such as master has to servant	Substantial but not complete confidence and trust; still wishes to keep control of decisions	Complete confidence and trust in all matters
Extent to which superiors behave so that subordinates feel free to discuss important things about their jobs with their immediate superior	Subordinates do not feel at all free to discuss things about the job with their superior	Subordinates do not feel very free to discuss things about the job with their superior	Subordinates feel rather free to discuss things about the job with their superior	Subordinates feel completely free to discuss things about the job with their superior
Extent to which immediate superior in solving job problems generally tries to get subordinates' ideas and opinions and make constructive use of them	Seldom gets ideas and opinions of subordinates in solving job problems	Sometimes gets ideas and opinions of subordinates in solving job problems	Usually gets ideas and opinions and usually tries to make constructive use of them	Always gets ideas and opinions and always tries to make constructive use of them

*From THE HUMAN ORGANIZATION by Rensis Likert. Copyright © 1967 by McGraw-Hill, Inc. Used with permission of McGraw-Hill Book Company.

BEFORE PROCEEDING WITH THIS TOPIC, WE SUGGEST THAT YOU STUDY THE FOLLOWING READING:

Reading IV-1.

Tannenbaum, Robert and Warren H. Schmidt.
"How to Choose a Leadership Pattern", from *Harvard Business Review*, 51:162-181, May/June 1973.

This classic article was first published in the HBR in 1958, but its enduring interest justified its reprinting in 1973 with a "Retrospective Commentary". It presents a model continuum of leadership from "Boss-centered leadership" (autocratic) to "Subordinate centered leadership" (democratic). It concludes with a lengthy discussion of the implications for practicing managers.

The article by Tannenbaum and Schmidt which you have just read should stimulate your thinking about your own leadership style and that of supervisors and managers with whom you have worked. The article also raises the basic question as to which style of leadership is best. We shall delay our discussion of this question for the moment and develop it in Topic IV of this module. Before examining other models of leadership style, however, the following Self Tests will give you an opportunity to assess your own leadership style. You will be given an opportunity to analyze your responses to these Self Tests later.

SELF TEST IV-1 AND IV-2

At this point, locate Self Test IV-1 on page IV-29 and work through it. When you have completed it to your satisfaction locate Self Test IV-2 on page IV-31 and work through it. When you have finished both Self Tests, set them aside, to be analyzed later.

Another model for conceptualizing leadership style which has received considerable attention is the Managerial Grid.® It is based upon the assumption that managers or supervisors have at least two primary concerns with respect to their supervisory responsibilities in the organization. First they are concerned with production or output. In our case, that would be the quantity and quality of information and/or library services provided, or the respective contribution of the work unit to that output. The other general concern of supervisors or managers is the people under their immediate control, or their subordinates. Blake and Mouton suggest that the leadership style or behavior of managers and supervisors can be assessed on the basis of the relative level of intensity of each concern on their part.

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BEFORE PROCEEDING WITH THIS TOPIC, WE SUGGEST THAT YOU STUDY THE FOLLOWING READING:

Reading IV-2.

Blake, Robert R. and Jane Srygley Mouton.
"An Overview of the Grid", from *Training and Development Journal*, 29:29-37, May 1975.

In this article, the originators of the Managerial Grid explain their model and characterize five possible styles of leadership based upon the supervisor's or manager's relative concern for production and people. They emphasize the value of team management.

Having read the Blake and Mouton article, you may find it useful to use the chart below to briefly characterize the five general categories of managerial styles presented on the Grid in your own words:

Impoverished Management (1,1):

Country Club Management (1,9):

Middle of the Road (5,5):

Task Management (9,1):

Team Management (9,9):

The authors suggest that most leaders in organizations (like most people in an organization) assume one of these styles, or a variation of it, as their general pattern of approaching their organizational responsibilities. Implicit in their discussions is the view that task and people concerns are not mutually exclusive, but, on the other hand, they are potentially sources of behavioral conflict. Their development program for organizations is designed to maximize both concerns and make them compatible through team building and commitment to organizational goals.

SELF TEST IV-1: ANALYSIS

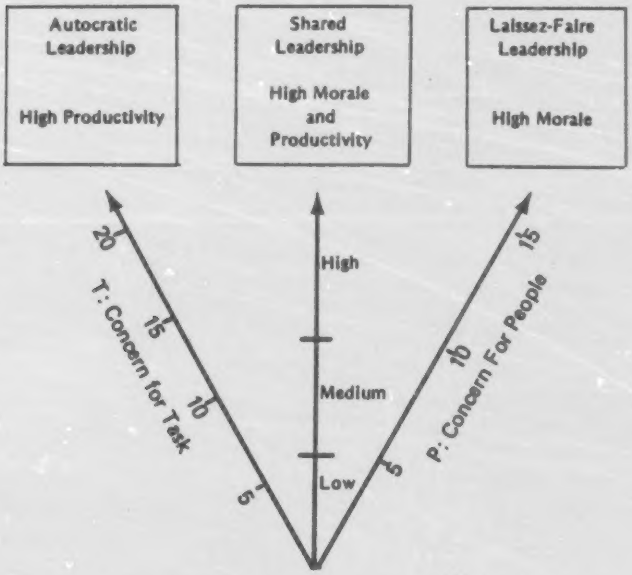
Now let us return to your own style of management by analyzing your results on Self Test IV-1. This test was designed to assess your degree of concern for people and for task (production). The score which you placed in the T box represents your score on Concern for Task. The score which you placed in the P box represents your score on Concern for People.

(1) Mark your T score on the *concern for task* arrow below. Then mark your P score on the *concern for people* arrow.

(2) Draw a straight line between your respective scores.

(3) The point at which that line crosses the middle arrow indicates your score (high, medium, low) for *shared leadership.*

SHARED LEADERSHIP RESULTS FROM
BALANCING CONCERN FOR TASK AND CONCERN FOR PEOPLE*



*Reprinted from J. William Pfeiffer and John E. Jones (Eds.), *A Handbook of Structured Experiences for Human Relations Training,* Volume I (Rev.). La Jolla, Calif.: University Associates, 1974. Used with permission.

Did you score low? Don't be too discouraged. No test is fool-proof, and more important than your score, is what you choose to do with the information it provides you.

Did you score high? While this would tend to indicate that you possess attitudes and behaviors which the literature claims contribute to effective leadership style, you must remain sensitive to the broad spectrum of leadership situations which you undoubtedly will encounter, and which we will discuss further in Topic IV.

Although this test may not be totally compatible with the Managerial Grid, since it is designed to test the same two dimensions, you might want to relate your results to the Grid. It should, indeed, give you some indication of the assumptions you make as a supervisor or manager and your leadership style. You may wish to take a few minutes to analyze the statements and your responses to them before proceeding.

* * *

SELF TEST IV-2: ANALYSIS

Self Test IV-2 is a questionnaire which has been used in both research and practical situations to assess the leadership styles of supervisors and managers. The form of the instrument which you completed is sometimes referred to as the LEADERSHIP OPINION QUESTIONNAIRE, or LBDQ-IDEAL, and is designed to assess your perceptions of how an *ideal* leader *should* behave. Another form of the questionnaire, known as the LBDQ or LEADER BEHAVIOR DESCRIPTION QUESTIONNAIRE, is designed to measure the perceptions of the subordinates, peers, or superiors of a manager or supervisor. Their scores are then averaged to give an index of the leader's behavior on the two dimensions being tested. These instruments were developed and tested at The Ohio State University. The two key dimensions of leadership behavior which they are designed to assess are referred to as *Initiating Structure* and *Consideration.*

> Initiating Structure refers to the leader's behavior in delineating the relationship between himself and the members of his group, and in endeavoring to establish well-defined patterns of organization, channels of communication, and ways of getting the job done.[8]
>
> Consideration refers to behavior indicative of friendship, mutual trust, respect, and warmth in relationship[s] between the leader and members of the group.[9]

In doing Self Test IV-2, you were asked to describe what an ideal leader *ought to do* in supervising his or her group. Follow the steps below to score your "ideal leader" on the two dimensions of Initiating Structure and Consideration.

Step 1: Locate your Self Test and on the following two score sheets circle your answer to each of the items listed:

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[8] Andrew W. Halpin. *Manual for the Leader Behavior Description Questionnaire.* Columbus, Ohio: Bureau of Business and Economic Research, The Ohio State University, 1957, p. 1. (Now the Center for Business and Economic Research, The Ohio State University, 1775 College Road, Columbus, Ohio 43210. Copies of the questionnaires and manual may be ordered from the University Press, The Ohio State University, 316 Hitchcock Hall, Columbus, Ohio 43210.)

[9] *Ibid.*

SCORING KEY FOR INITIATING STRUCTURE

Item No.	Always	Often	Occasionally	Seldom	Never
2	4	3	2	1	0
4	4	3	2	1	0
7	4	3	2	1	0
9	4	3	2	1	0
11	4	3	2	1	0
14	4	3	2	1	0
16	4	3	2	1	0
17	4	3	2	1	0
22	4	3	2	1	0
24	4	3	2	1	0
27	4	3	2	1	0
29	4	3	2	1	0
32	4	3	2	1	0
35	4	3	2	1	0
39	4	3	2	1	0

SCORING KEY FOR CONSIDERATION

Item No.	Always	Often	Occasionally	Seldom	Never
1	4	3	2	1	0
3	4	3	2	1	0
6	4	3	2	1	0
8	4	3	2	1	0
12	0	1	2	3	4
13	4	3	2	1	0
18	0	1	2	3	4
20	0	1	2	3	4
21	4	3	2	1	0
23	4	3	2	1	0
26	4	3	2	1	0
28	4	3	2	1	0
31	4	3	2	1	0
34	4	3	2	1	0
38	4	3	2	1	0

Step 2: Total the circled items from each of the Scoring Keys above and record your scores for each below.

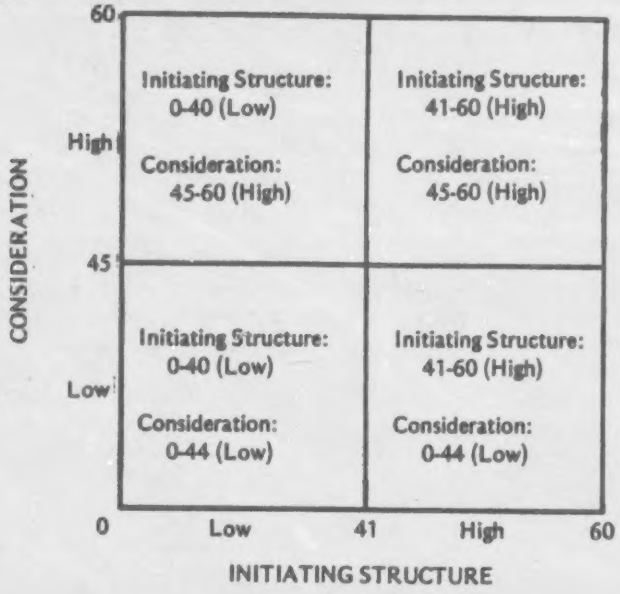
Score for Initiating Structure: ☐

Score for Consideration: ☐

In order to interpret your score the following median* scores of the three samples of leaders can be used for comparison:

		Median Score	
	Group composition:	Structure:	Consideration:
Sample I	251 Aircraft Commanders	42	42
Sample II	144 Aircraft Commanders	41	48
Sample III	64 School Administrators	39	46

Although there is no clear cut division line between high and low scores in either dimension, we have arbitrarily used the average of these median scores as the basis for the following graphic model:



Initiating Structure: 0-40 (Low)
Consideration: 45-60 (High)

Initiating Structure: 41-60 (High)
Consideration: 45-60 (High)

Initiating Structure: 0-40 (Low)
Consideration: 0-44 (Low)

Initiating Structure: 41-60 (High)
Consideration: 0-44 (Low)

Using this oversimplified model, you can plot your own scores on the two dimensions, and identify the quadrant into which your combined score falls. Simply circle the range into which your score falls for each dimension on the graph above, and note the quadrant into which your combined score falls.

This questionnaire has been used in many research studies. The findings suggest that the most effective leaders, or those with the reputation for being good leaders, tend to score high in both dimensions. Using our graphic representation above, these leaders would tend to fall into the upper right quadrant: the high initiating structure, high consideration quadrant. However, remember that the proper ratio of **Initiating Structure** and **Consideration** that is best for you depends upon the situation in your library.

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*50% above and 50% below the score

You may want to repeat this test, applying it to (1) your own perception of yourself as a leader (the results may well be similar to your perceived ideal leader); or (2) to your own supervisor. If you feel brave, you might ask each of *your* subordinates to fill out a questionnaire assessing your leadership behavior, and then ask one of them to average the scores. Then compare this assessment with your self-perception of your leadership behavior.

If you choose to do this, you can use the items in Self Test IV-2, since they are the same as the items in the LBDQ. It is only the directions to the person filling out the instrument that change—i.e., they should answer in terms of their perception of your behavior as a leader.

By now you have probably noticed the similarities between Self Tests IV-1 and IV-2, and the Managerial Grid. Indeed all of these instruments, although they assign different names, are intended to assess two similar dimensions of leadership behavior.

BEFORE PROCEEDING TO THE NEXT TOPIC, WE SUGGEST THAT YOU STUDY THE FOLLOWING READING:

Reading IV-3.

Sparks, Rita.
"Library Management: Consideration and Structure," *Journal of Academic Librarianship*, 2:66-71, May 1976.

This is an example of how the LBDQ might be used in a library to compare staff perceptions of an administrator's or supervisor's leadership behavior with his or her self-perception. The author used the Supervisory Behavior Description Questionnaire (SBDQ) developed by Fleishman at The Ohio State Universtiy in the late 1950's. It is similar in item content to the LBDQ-IDEAL that you took as Self Test IV-2, and assesses the same two variables: structure and consideration.

TOPIC IV: THE SITUATIONAL APPROACH

The practical questions which inevitably emerge from a discussion of leadership in the management context are: Which leadership style is best? Which leadership style produces the best results in terms of achieving organizational goals? What approach should we use in leadership training? As we have seen, Blake and Mouton, as well as others, have suggested the desirability of *combining* a high concern for people with a high concern for task (production/structure) as an ideal pattern of leadership behavior. Another approach is presented by Rensis Likert. Based upon research in a variety of organizational settings, he concludes that a democratic leadership style is more effective not only in terms of staff satisfaction, but also in terms of organizational results.

In contrast, increasing attention has been given to the view suggesting that no single style of leadership produces optimum results in *every* situation. Rather, these studies suggest that *the situation* has considerable influence in determining which behavior will be most suitable for the leader at any given point in time. This point of view has become known as the *situational approach* to leadership style. Two management scholars who have independently stressed the importance of situational factors are Fred E. Fiedler and Victor H. Vroom.

Fiedler challenges the basic assumptions of much of the current leadership training. These assumptions include:

- The notion that there is one ideal kind of leadership behavior
- The belief that leadership behavior is under the voluntary control of the leader
- The inference that a powerful or influential leader is the most effective
- The generally held belief that participative management automatically insures leader effectiveness.

Rather than viewing managers and supervisors as malleable and the organization as inflexible, Fiedler argues from the opposite perspective. The leader's personality and personal goal orientation are relatively fixed. Since most leadership situations are highly "emotion-charged", according to Fiedler, we cannot expect the leader to control or to be as attentive to his or her behavior as traditional leadership theory would have us believe. What becomes important, then, is the identification of the leader's motivation, attitude, and perceptions, and the determination of the specific situations under which various types of leaders perform best.

For this purpose Fiedler has developed an instrument which is designed to identify the leader's motivational structure. He or she has either a tendency toward being task motivated or relationship motivated. Depending upon the situation, either behavior can be effective. The situational variables which he takes into account in his model are:

- Leader/member relations (the amount of subordinate support the leader has)
- Task structure (how clearly defined is the activity, job or task)
- Position power (the amount of power the leader has over the reward system of the organization)

Application of this model, which he refers to as the "contingency model", has shown that task-motivated leaders are most effective in situations where their control or influence is either very high or very low. Relationship motivated leaders tend to perform best in situations where their control and influence is moderate. If we accept Fiedler's model, leadership training would emphasize skills in identifying advantageous leadership situations and developing leadership situations where success is most likely to occur.

Victor Vroom has also concluded that the appropriate leadership style is dependent upon the situation. He stresses the importance of the decision or problem at hand. In other words, the various decisions and problems which a manager confronts dictate whether he or she should assume an autocratic, consultative, or team approach. Vroom views the effective leader as. . .

> . . .neither universally autocratic nor universally participative but [he or she] utilizes either approach in response to the demands of a situation *as he perceives them*. Above all, he is a flexible leader who has thought through his values and who has a repertoire of skills necessary to execute effectively each of the decision processes.[10]

His theory is presented as a sequential series of questions which are applied to a decision or problem at hand. The questions in his model are:

- Does the problem possess a quality requirement?
- Do I have sufficient information to make a high-quality decision?
- Is the problem structured?
- Is acceptance of the decision by subordinates important for effective implementation?
- If I were to make the decision by myself, am I reasonably certain that it would be accepted by my subordinates?
- Do subordinates share the organizational goals to be attained in solving this problem?
- Is conflict among subordinates likely in preferred solutions?

The progression through this series of questions is dependent upon the answer (yes or no) to a previous question. The result of this process is not one *best* approach, but rather the exclusion of inappropriate strategies.

If you wish to explore further the theories of leadership which Fiedler and Vroom have developed, we refer you to some of their writings which are listed in *Materials for Further Study* at the end of this module under the entry "Leadership Symposium".

Perhaps the simplest way to conclude a discussion of the situational approach is to examine some of the variables which have been identified as influencing the effectiveness of any given style of leadership. Many of these were introduced in the article by Tannenbaum and Schmidt (Reading IV-1) and are also incorporated into the models of Fiedler and Vroom. Tannenbaum and Schmidt categorize these variables as:

- Forces in the Manager
- Forces in the Subordinate and
- Forces in the Situation.

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[10] Victor H. Vroom, "Can Leaders Learn to Lead?" *Organizational Dynamics*, volume 4, Winter 1976, p. 20.

FORCES IN THE MANAGER

The value system of the manager. This value system has generally been shaped by years of experience and observation in one or more organizations, as well as through social and educational experiences. In question are such things as how strongly a manager feels that individuals should have a share in decision-making, or how strongly the manager feels that he or she is getting paid to make decisions. You've all undoubtedly heard a supervisor, or possibly yourself, fall back on the cliché that "you are getting paid to make the decisions" or "the buck stops here". Such strongly rooted attitudes generally tend to influence your leadership style and behavior as a manager.

The manager's confidence in his or her subordinates. The impact of this confidence or lack upon your style of leadership should be apparent. Although a lack of confidence in subordinates may be justified in many cases, the prolongation of such a condition may reflect upon your leadership ability. You should be concerned about what you are doing to improve the abilities and training of the individuals in your work group.

The manager's leadership inclinations. Your personality structure including attitudes, motivations, and perceptions influence your leadership style. Some managers are much more comfortable in a highly structured role. They frequently rely excessively on formal authority and rigid adherence to clearly defined policies and procedures.

The manager's feeling of security. When more freedom is given to the group, the decisions and outcomes of decisions become less predictable. Some managers feel secure only when there is a high degree of predictability, while others can tolerate more ambiguity.

These are some of the key variables which you as a manager or supervisor bring to your position. Therefore, you must recognize their potential impact on your leadership style and the impact of that style on the behavior of individuals working for you. Fiedler and others have concluded that these personal attitudes and values are not readily changed. Others, such as Blake and Mouton and Likert, emphasize the importance of trying to modify these variables in order to develop a more effective leadership style.

FORCES IN THE GROUP

Employees' need for independence. If employees have a high need for independence of action, they are likely to respond more favorably to a participative approach which allows them to satisfy this need.

Employees' willingness to accept responsibility. Some employees see added responsibility as a compliment to their abilities. It has already been suggested that this is a potential means for satisfying an individual's need for self-actualization. Other employees may not respond favorably to added responsibility, at least not initially. Remember that just as the supervisor's attitudes and values are the product of years of experience, so also are those of all employees in an organization.

Personality variables of employees. As in the case of the manager, the actions of each member of the work group are influenced by his or her personality variables, including attitudes, motivations, perceptions, and expectations. In selecting a leadership style, the manager must recognize these differences among individuals and either adjust his or her style, or attempt to modify the situation to make his or her style more appropriate.

Employee interest. Employees who are interested in the organization and its problems are more likely to respond more favorably toward participation. This same rule would apply to the particular problem-solving situation.

The employees' understanding of the goals of the organization. In Module II we discussed the importance of goal identification and the need for integrating the goals of the individual with those of the organization. The more this integration has taken place, the more likely employees are to respond to a participative leadership approach.

Knowledge and experience of the employees. Problem-solving can only be as effective as the knowledge and experience which is brought to bear upon it. Employees must have the appropriate training before they can assume an effective decision making role. They must also have access to all of the available information which bears upon the problem at hand. If this training is not given and the information cannot be shared, then a democratic leadership style becomes a sham.

Employees' expectations about the leader. Over a period of time members of the group develop certain expectations about their supervisors or managers. Employees who have come to expect a role in decision making will resent a manager who makes decisions by himself, even if the decisions are wise ones. On the other hand, a group which has become accustomed to an authoritarian leadership style and has had little, if any, experience in decision making, will tend to be disrupted by a highly participative leadership style unless the group members have received appropriate training for this new role.

FORCES IN THE SITUATION

Types of organization. The amount of employee participation is influenced by such factors as the traditions of the organization, that is, what the organization considers a good supervisor to be; the geographical dispersion of the organization (wide dispersion tends to diminish the amout of participative management that is possible); the size of working units; and the degree of confidentiality necessary.

Group effectiveness. Before giving a group the power to make decisions, it is necessary to consider how the members work together as a group. Also important is the degree of confidence a group has in its own ability to solve problems and make decisions; the amount of training that the group has had in the ways and means of reaching decisions; and such variables as mutual acceptance, common purpose, and flexibility.

The problem itself. The nature of the problem is a key factor. Does the group have the knowledge and experience to deal with the problem at hand? It is doing a group a disservice to ask members to make a decision about which they have neither the knowledge, experience, or direct interest to make an effective decision. On the other hand, the manager needs to ask himself whether or not he really knows the background and experience of all who might have relevant information to solve the problem at hand.

Pressure of time. The greater the need for an immediate decision, the more difficult it is to involve group members in the decision. Thus organizations which are constantly in a state of "crisis" and "crash programs" are usually ones in which managers use a highly authoritarian form of leadership. When time pressures are less intense, it becomes much more possible to bring subordinates into the decision-making process.

All of these variables have a significant impact upon the appropriate leadership styles within an organization. Their impact is made even more complex by the inevitable interrelationships among them. An analysis of this list should illustrate why it is so difficult to generalize about an ideal leadership style.

BEFORE GOING ON TO THE NEXT TOPIC, YOU MAY FIND IT HELPFUL TO REVIEW THESE VARIABLES, AND TO RELATE EACH TO YOUR OWN ORGANIZATIONAL SITUATION.

YOU MIGHT ALSO ASK YOURSELF TO WHAT EXTENT AND HOW THE FACTORS IN YOUR PRESENT SITUATION JUSTIFY, OR FAIL TO JUSTIFY, YOUR *OWN* LEADERSHIP STYLE.

TOPIC V: MOTIVATION AND LEADERSHIP STYLE

It is impossible to discuss leadership style without either explicitly or implicitly relating it to some of the motivational theory presented in earlier modules. The behavior of the manager or supervisor has a direct or indirect impact upon the behavior of others in the group. The assumptions the leader makes about subordinates affect how they act in a given situation and vice versa. The manager has a major influence upon the motivational climate in which his or her subordinates interact. The following article (Reading IV-4) by David Berlew should assist you in integrating leadership theory and motivational theory. In Module V, we will be further integrating these concepts in our discussions of organizational climate and organizational development.

BEFORE PROCEEDING WITH THIS TOPIC, WE SUGGEST THAT YOU STUDY THE FOLLOWING READING:

Reading IV-4.

Berlew, David E.

"Leadership and Organizational Excitement," in David A. Kolb, Irwin M. Rubin, and James McIntyre, editors. *Readings in Organizational Psychology*, 2nd eidtion, Prentice-Hall, 1974, pp. 265-277.

The author offers some insights into the problem of increasing alienation in the workplace—specifically, "the increasing attrition of professional and new graduates from established organizations." Berlew suggests that the missing ingredient in many established organizations might well be "organizational excitement" or the kind of charismatic leadership that provides "a common vision" for all the members of the organization. Such a leader makes each person in the organization feel stronger and more in control of his or her own destiny, while providing opportunities for the integration of personal and organizational goals in activities which relate to the individual's values. Be sure to study carefully Figure 1 on page 27 and Figure 2 on page 28.

EXERCISE IV-1

Before reading the Case Study which follows, locate Exercise IV-1 on page IV-33 and follow the directions at the top of the page.

CASE STUDY IV-1

Anne X, head of circulation, stormed into the office of Joan Y, the head librarian, two days before a long 4th of July weekend to tell her about her latest personal crisis. It seems Anne X had just learned that her brother and sister-in-law and family from California, whom she had not seen for five years, would be flying into their hometown two hundred miles away for the long weekend. Anne X desperately wanted to attend this unexpected family reunion, but had commited herself to working twenty hours over the weekend so that her three key staff members could spend the weekend in their respective holiday pursuits. She had initially looked forward to working during this quiet period in order to catch up with a growing backlog of filing and overdues which had been building up even more than usual, in spite of the fact that she had taken to working extra hours on evenings and weekends.

Joan Y listened impatiently to the predicament that Anne X found herself in, but offered little sympathy. "It's too bad that you agreed to work so many hours on the weekend. I can certainly understand your desire to see your brother and his family. Why don't you try to get some of your key people to split up the hours you're scheduled to work?" In response to Anne X's solution that she could probably identify some part time student employees to cover her hours, Joan Y responded: "We've already reduced the hours that the library will be open and since this weekend falls toward the end of our first summer session, it's absolutely necessary that the desk be staffed with a knowledgeable staff member who knows the collections and library. Your staff agreed to this 2 months ago when we made this decision. Many of the students will be completing term papers and will be requiring effective library service." Joan Y concluded the conversation with the following observations: "It is unfortunate that you decided to cover so many of these hours yourself, but then, that seems to be typical of you. Maybe you're too considerate of your people. Incidentally, this rash of complaints from unhappy patrons which we discussed last week seems to be continuing. Here's another irate letter from Professor Kinsey, who was kept waiting 15 minutes the other day to find out that the book he needed was apparently missing. I trust you will bring this to the attention of the guilty party."

Anne X left this conference despondent. She had not told Joan Y that she had already approached her key staff members about her predicament, and that two of them had suggested the part-time student employee solution. The third, Frank Z, reluctantly offered his services for one of the afternoons, conceding that she had covered for him occasionally.

In a moment of self pity, Anne X sat in her office and thought of the numerous kindnesses she had shown to these three people over the past year (birthday cards, time-off, extended coffee breaks, etc., etc.). None of them had very legitimate excuses for not coming to her rescue. As for "the rash of complaints", she had tried on three occasions to get additional staff. Each time Joan Y had told her that it was impossible and that she should be using the personnel she had more effectively.

A couple of weeks later, Anne X had lunch with two colleagues, David B, head of the reference department, and Sally K, administrative assistant. She had been despondent since the 4th of July weekend and had been giving considerable thought to her supervisory abilities, as well as still smarting over the family reunion she missed. She confided to David B some of her concerns:

- Joan Y was always riding her about shaping up the department.
- Her staff acted bored half the time, but were continually asking her for personal favors.
- She tried to involve them in decisions, but they did not seem very responsive.
- She had finally gotten up the nerve to tell various staff members of the complaints their services had caused, and they responded by explaining how unreasonable the patrons could be or how much they had to do.

David B listened patiently for 15 minutes and offered the following advice: "You're too damn good to those people and they take advantage of you every chance they get. You've got to assert your authority with them. Let them know you're boss. Set up clear cut rules and procedures and make them adhere to them. I never have those problems! And, as for the 4th of July, you wouldn't have had the problem in the first place if you hadn't asked before setting up the work schedule. I just figured out the schedules for the reference desk for the month, and they damn well better be there unless they're in the hospital. And all those silly birthday celebrations you have in circulation!"

Anne X rebutted: "But these are intelligent people. You've got to be nice to them." She ordered a second martini.

Sally K interrupted: "You just admitted they were a bunch of ingrates a few minutes ago. Why be considerate to a group of people who don't even do what they're being paid to do? Just this week I had to get rid of a new guy in the mail room who wasn't able to shape up. My people know what I expect, and as long as they measure up, I treat them well. Why I'm always doing nice things for Mary P. She isn't too bright, but she does a decent job and she's reliable."

David B: "I finally had to tell Frank and Betty Lou to forget about their experimental library instruction program for the English majors. It was just taking too much of their time from their desk duties. They were obviously annoyed at first, but they got over it."

They ordered another round of martinis.

* * *

SELECTED MATERIALS FOR FURTHER STUDY

READINGS

Bennis, Warren.
"Leadership: A Beleaguered Species?" *Organizational Dynamics*, 5:2-16, Summer 1976.

Warren Bennis, President of the University of Cincinnati, summarizes his views about some of the forces in today's society, and conditions in the leader's own immediate environment, which are making it difficult, if not impossible, for leaders to *lead*. "Where have all the leaders gone?", asks Bennis. "They're consulting, pleading, trotting here and there, temporizing, putting out fires, either avoiding or (more often) taking too much heat, and spending too much energy in doing both." Bennis presents a very pessimistic picture, but concludes on a positive note by suggesting some important principles which those who would lead should keep in mind.

Bennis' book, *The Unconscious Conspiracy: Why Leaders Can't Lead*, (New York: AMACOM, a division of American Management Associations, 1976) expands upon many of the points introduced in this article.

Chapman, J. Brad and Luthans, Fred.
"The Female Leadership Dilemma," *Public Personnel Management*, 4:173-9, May 1975.

The authors review several research studies which have examined some of our generally accepted notions about female leadership. They then offer some concrete suggestions as to how organizations might help women to realize their full leadership potential. Since it is so important that we begin to act upon sound, research-based information in regard to the leadership role of women, we recommend this article to you. References to the original studies are provided for those of you who wish to go further.

Dragon, Andrea Claire.
Self-Descriptions and Subordinate Descriptions of the Leader Behavior of Library Administrators: A PhD Dissertation. University of Minnesota, 1976.

Dr. Dragon's research on the leadership style of administrators and supervisors was conducted in three public libraries in Minnesota. This study might be of particular interest to you because the investigator administered the LBDQ-Form XII in collecting her data. (This form of the Ohio State leadership scales is a 100-item questionnaire developed by Stogdill and published in 1962.)

Frew, David R.
"Leadership and Followership," *Personnel Journal*, 56:90-97, February 1977.

In this article the author presents an instrument which he designed to help practicing supervisors assess both their leadership style, and what he terms "followership." The two dimensions are defined as (1) leadership style: "the idealized approach that a person would prefer to take to supervising"; and (2) followership style: "the kind of leadership patterns which would be preferred by an individual in his/her boss." The 36-item instrument can be easily self-administered, self-scored, and self-interpreted within 15-20 minutes. If you wish to determine the general level of acceptance of your leadership by your staff, you will find the Leadership and Followership Style Test presented on pages 94 and 95 of this article, with directions for scoring and interpreting the results on page 95.

Hill, Norman.

"Self-Esteem: The Key to Effective Leadership," *Administrative Management*, 37:24-25+51, August 1976.

This brief article examines the relationship between your level of self-esteem, the expectations you have of others, and the effects upon your subordinates. Since "what you expect" is often "what you get" you might want to read this article.

Holal, William E.

"Toward a General Theory of Leadership", *Human Relations*, 27:401-416, April 1974.

The author has attempted to synthesize most of the existing concepts, theories, and research evidence concerning leadership into a theoretical framework consisting of five ideal models of leadership. Each of these models: Autocarcy, Bureaucracy, Human Relations, Participation and Autonomy, is composed of three variables. They are: leadership style (the type of working relationship between subordinates and superior); task technology (the type or work which subordinates perform); and subordinate motivation (the type of interests and values which characterize subordinate perceptions and behavior). The chart which the author presents on page 404 is a useful synthesis of a great deal of the leadership literature, which you may find interesting and helpful.

"Leadership Symposium", *Organizational Dynamics*, 4:2-43, Winter 1976.

Most of this issue of *Organizational Dynamics* is devoted to a summary of the contrasting approaches to leadership held by three of the best-known authorities on the subject: Fred E. Fiedler, Victor H. Vroom, and Chris Argyris.

In the first article, "The Leadership Game: Matching the Man to the Situation," Fred E. Fiedler discusses his contingency model of leadership effectiveness. He also describes his Least Preferred Co-worker Scale (LPC), an instrument designed to measure the leader's motivation and leadership style. The individual is first asked to think of everyone with whom he has ever worked, and then to describe the one person with whom he could work *least* well; the results are then related to the priorities which this individual places upon task accomplishment and interpersonal relations. Some of you may want to explore Fiedler's approach further. If so, you will find the most complete description of his contingency model in his book, *A Theory of Leadership Effectiveness*, McGraw-Hill, 1967. A more recent statement of his leadership theory is presented in *Leadership and Effective Management* (Scott, Foresman, 1975) which he co-authored with Martin Chemer.

In the second article, "Can Leaders Learn to Lead?", Victor H. Vroom discusses his situational approach to leadership as presented in the contingency model he developed with Philip Yetton. Like Fiedler, he stresses that appropriate leadership style varies with the situation. In this article, he shows how the leader can learn (1) to recognize the requirements of a situation and (2) to tailor his style to meet these requirements. A comprehensive description of Vroom and Yetton's contingency model can be found in their book, *Leadership and Decision Making*, University of Pittsburgh Press, 1973.

In the third article, "Leadership, Learning, and Changing the Status Quo", Chris Argyris discusses a different aspect of leadership. He explains what is involved in a complete reversal of behavior, when a Theory X (or what he calls Model I) leader attempts to become an equally committed Theory Y (or Model II) leader. Argyris has attempted this change effort in several situations, and in this article discusses the learning processes involved, and the results that have been obtained. As one might expect, the process is lengthy, difficult and agonizing—and often fails—but when it succeeds, as it has in several instances, Argyris feels that the results more than justify the effort. Those of you who want to explore this approach further should consult *Theory in Practice* (Jossey-Bass, 1974), which Argyris co-authored with Donald Schon.

McClelland, David C.
"The Two Faces of Power," *Journal of International Affairs*, 24(1):29-47, 1970.

In this noteworthy essay, Professor David McClelland, some of whose work on motivation you studied in Module II, suggests that if we wish to better understand effective leadership, we should study the power motive to learn about the way effective managers lead. We are most familiar with the negative face of power, but McClelland contends that it has a positive face too. Convinced from his research that leaders are not so much born as made, he suggests that we must discover and develop leadership potential wherever it is found. Understanding the positive side of power, and the techniques which psychology offers us to elicit effective leadership behavior, will enable us to do so. A thought-provoking essay which we think you will find interesting.

Stogdill, Ralph M.
Handbook of Leadership: A Survey of Theory and Leadership. New York: Free Press, 1974.

Professor Stogdill's handbook is a monumental work: he has abstracted and analyzed over 3,000 books and articles in an attempt to inventory and organize four decades of research on leadership. Using forty major topics, he has summarized and analyzed the experimental evidence on each subject. This sourcebook, says Stogdill, "is intended for the serious reader who wants to know what results have been obtained, who did the research, and what conclusions can be drawn from the accumulated evidence." You will find the extensive bibliography (pp. 430-581) helpful in identifying further readings which might be of interest to you. Author and subject indexes are also included.

Zaleznik, Abraham.
"Managers and Leaders: Are They Different?" *Harvard Business Review*, 55: 67-78, May/June 1977.

Suggesting that leaders and managers are basically different types of people, Dr. Zaleznik discusses the development and personality of both, exploring their attitudes toward goals and their work, their relations with others, and their sense of self. Although the author does not say that it is impossible for one individual to be both a good manager and a good leader, he feels strongly that differences in the conditions which are favorable to the growth and development of each make this very unlikely. An article which should provoke some discussion.

FILMS and VIDEO CASSETTES

The Bob Knowlton Story.
(Film) Roundtable Films, 1969. 28 minutes, sound, color, 16mm.

A revealing case study by Dr. Alex Bavalas which shows what happens when a production-centered boss places a brilliant young individualist under the supervision of a highly effective, but team-oriented manager. This film demonstrates the importance of managers being sensitive to the feelings of their subordinates and provides insight into the problems of managing people who are more knowledgeable in a special area than their supervisors. Also available in 3/4 inch video cassette format.

Effective Leadership.

(Film) University of California Extension Media Center, 1968. 32 minutes, sound, black/white, 16 mm (Management Development Series). (EMC #7068).

In this filmed lecture, Dr. Robert Tannebaum, one of the authors of Reading IV-1, defines and describes the characteristics of effective leadership. He emphasizes the importance of continuing personal learning and growth, coupled with a sincere and unfaltering attitude of always correctly perceiving and understanding the people around us. Available for *purchase* in all video formats.

The Management of Human Assets.

(Film) BNA Communications, 1967. 28 minutes, sound, color, 16mm (Gellerman Motivation and Productivity Series).

Dr. Rensis Likert discusses his years of research and study at the Institute for Social Research at the University of Michigan. He brings his keen understanding of leadership and supervision to bear on the question of what an organization should do to obtain high-producing work groups, and explains how to rate an organization using the method he developed to describe its prevailing management system. Also available in 3/4 inch video cassette format.

The Managerial Grid.

(Film) University of California Extension Media Center, 1963. 35 minutes, sound, black/white, 16mm (Management Development Series). (EMC #6020).

Explains Blake and Mouton's techinque for evaluating management style. Demonstrates the system applied in various situations to determine the attitudes, values, degree of commitment, creativity, and conflict that can be expected when different management methods are used. Available for *purchase* in all video formats.

Managerial Grid Series.

(Films) BNA Communications, 1974. 30 minutes each, sound, color, 16mm.

In the first film in this two-part series, *The Managerial Grid in Action*, Drs. Robert Blake and Jane Mouton agree to assist a division in a large company in dealing with an internal crisis. The leadership styles of the division managers before they learn about the Grid are shown, as well as their mixed reactions to it, and how they come to feel that it may offer a solution to the crisis they face.

In the second film, *The Grid Approach to Problem Solving*, which takes place the next day, a conflict-ridden meeting is presented in which controversy is changed into constructive action as the managers begin to strive toward the 9,9 team approach. You'll have to see the film to find out if they succeed. Also available in 3/4 inch video cassette format.

A Matter of Method.

(Film) Roundtable Films, 1969. 24 minutes, sound, color, 16mm.

A case study which dramatizes the role of the supervisor and shows that his or her function is essentially the same regardless of the type of organization. Basic supervisory functions are traced through three examples illustrating the basic steps necessary to get the job done: analysis, planning, and execution. Also available in 3/4 inch video cassette format.

The Strengths of Leaders.
(Film) Roundtable Films, 1969. 40 minutes, sound, black/white, 16mm (Extra Five Knots Series).

Explores four leadership characteristics and discusses the effects of each on motivation, demonstrating that the manner in which a manager communicates will determine his or her success in overcoming the kind of resistance a leader often encounters. Also available in 3/4 inch video cassette format.

Styles of Leadership.
(Film) Roundtable Films, 1962. 26 minutes, sound, color, 16mm.

Demonstrates four different methods of handling a common business problem, showing how four different types of leaders might act. Analyzes the major characteristics of each of these leaders, and the effects of their leadership styles on the morale, motivation, and teamwork of their subordinates. Each leadership style (autocratic, democratic, consultative and manipulative) is presented in a relatively pure form so that it may be more easily observed and discussed. Also available in 3/4 inch video cassette format.

The Supervisory Grid.
(Film) BNA Communications, 1976. 25 minutes, sound, color, 16mm.

This film is designed to help first and second line supervisors gain a better understanding of the leadership process and become aware of their own leadership styles. It deals with the problems facing these supervisors, those who have to deal directly with the people performing the work, and uses plant and office situations to illustrate the effects of each of the five major leadership styles that the Grid identifies. Also available in 3/4 inch video cassette format.

The Will to Work.
(Film) Roundtable Films, 1969. 30 minutes, sound, color, 16mm.

This film stresses the importance of good human relationships, effective communication, and the effects of morale on work groups. These concepts are dramatically presented through a confrontation between a low-morale, low-producing supervisor and The Devil. As the supervisor is forced to relive his supervisory misdeeds, we observe the effects that his inconsiderate, insensitive, and self-centered approach have produced. Also available in 3/4 inch video cassette format.

AUDIO TAPE CASSETTES

Bennis on Leaders.
(Audio tape cassettes) AMACOM, 1975. 60 minutes each.

In this series of five audio tape cassettes, Warren Bennis discusses what is happening to leadership today, as well as what is likely to happen in the near future. He gives practical suggestions to help the manager who wants to function as a real leader.

The Management of Human Assets.
(Audio tape cassette) BNA Communications, 1970. 60 minutes (Motivation and Productivity Series.)

In a dialogue designed to supplement the film of the same title, Saul Gellerman and Emanuel Kay discuss Rensis Likert's Systems 4—a method of rating an organization on a four point scale in order to identify that organization's prevailing management system.

Objective-Focused Management.
(Audio tape cassettes) AMACOM, 1976. 60 minutes each.

Dr. George S. Odiorne, Dean of the University of Massachusetts School of Business, discusses why and how you should change your management style. Taking a look at the late 70's and the 1980's, Dr. Odiorne discusses the need for managerial change, and why managers will need to adapt to survive. Six audio tape cassettes.

The Psychology of Employee-Management Relations.
(1 track audio tape) Sound Seminars, n.d. Distributed by McGraw-Hill Book Co. College Division. 20 minutes.

Dr. Roger M. Bellows, professor of psychology at Rutgers University, discusses psychological versus autocratic management and its effects upon employee motivation and dynamics.

TRANSPARENCIES

Alternative Leadership Patterns.
(8 x 10 prepared transparency) Lansford Publishing Co., 1972. 7 overlays, color (Management, Pt. 2—Behavioral Aspects of Management Series).

Contrasting Authoritative and Participative Management Philosophies.
(8 x 10 prepared transparency) Lansford Publishing Co., 1972. 7 overlays, color (Management, Pt. 2—Behavioral Aspects of Management Series).

Leadership of Complex Organizations—A Series.
(8 x 10 prepared transpariencies) Lansford Publishing Co., 1972. 15 transparencies.

Illustrates consequences of leadership style and contrasts the Grid and lifecycle models of leadership.

Likert's Chart to Help Businessmen Analyze Their Companies' Management Style.
(8 x 10 prepared transparency) Lansford Publishing Co., color. (Man Machine System— Contemporary Problems Series).

SOURCES OF NONPRINT MATERIALS

If the distributor of an item is different from the producer, we have attempted to indicate this. Where only the producers are listed, they distribute their products. Many of these materials may also be available locally through public, academic, or other libraries. Check with your local public library system, especially as regards the availability of 16mm film titles.

AMACOM
A Division of the American Management Associations
135 West 50th Street
New York, New York 10020

BNA Communications, Inc.
A Division of the Bureau of National Affairs, Inc.
5615 Fishers Lane
Rockville, Maryland 20852

Educational Systems and Designs
136 Main Street
Westport, Connecticut 06880

Lansford Publishing Company
P.O. Box 8711
1088 Lincoln Avenue
San Jose, California 95155

McGraw-Hill Book Company College Division
330 West 42nd Street
New York, New York 10036

Perennial Education, Inc.
1825 Willow Road
Northfield, Illinois 60093

Roundtable Films, Inc.
113 North San Vicente Blvd.
Beverly Hills, California 90212

Sound Seminars
Division of Behavior Sciences Association
Distributed by McGraw-Hill Book Co. College Division

Henry Strauss Co., Inc.
31 West 53rd Street
New York, New York 10019

University of California Extension Media Center
2223 Fulton Street
Berkeley, California 94720

SELF TEST IV-1: T-P Leadership Questionnaire: An Assessment of Style*

DIRECTIONS: The T-P Leadership Questionnaire is designed to give you the opportunity to evaluate yourself in terms of task orientation and people orientation. The following items describe aspects of leadership behavior. Respond to each item according to the way you would most likely act if you were the leader of a work group. Circle whether you would most likely behave in the described way: always (A), frequently (F), occasionally (O), seldom (S), or never (N).

A F O S N 1. I would most likely act as the spokes[person] of the group.

A F O S N 2. I would encourage overtime work.

A F O S N 3. I would allow members complete freedom in their work.

A F O S N 4. I would encourage the use of uniform procedures.

A F O S N 5. I would permit the members to use their own judgment in solving problems.

A F O S N 6. I would stress being ahead of competing groups.

A F O S N 7. I would speak as a representative of the group.

A F O S N 8. I would needle members for greater effort.

A F O S N 9. I would try out my ideas in the group.

A F O S N 10. I would let the members do their work the way they think best.

A F O S N 11. I would be working hard for a promotion.

A F O S N 12. I would tolerate postponement and uncertainty.

A F O S N 13. I would speak for the group if there were visitors present.

A F O S N 14. I would keep the work moving at a rapid pace.

A F O S N 15. I would turn the members loose on a job and let them go to it.

A F O S N 16. I would settle conflicts when they occur in the group.

A F O S N 17. I would get swamped by details.

A F O S N 18. I would represent the group at outside meetings.

A F O S N 19. I would be reluctant to allow the members any freedom of action.

A F O S N 20. I would decide what should be done and how it should be done.

A F O S N 21. I would push for increased production.

A F O S N 22. I would let some members have authority which I could keep.

---

*Reprinted from J. William Pfeiffer and John E. Jones (Eds.), *A Handbook of Structured Experiences for Human Relations Training*, Volume I (Rev.). LaJolla, Calif.: University Associates, 1974. Used with permission.

A F O S N 23. Things would usually turn out as I had predicted.

A F O S N 24. I would allow the group a high degree of initiative.

A F O S N 25. I would assign group members to particular tasks.

A F O S N 26. I would be willing to make changes.

A F O S N 27. I would ask the members to work harder.

A F O S N 28. I would trust the group members to exercise good judgment.

A F O S N 29. I would schedule the work to be done.

A F O S N 30. I would refuse to explain my actions.

A F O S N 31. I would persuade others that my ideas are to their advantage.

A F O S N 32. I would permit the group to set its own pace.

A F O S N 33. I would urge the group to beat its previous record.

A F O S N 34. I would act without consulting the group.

A F O S N 35. I would ask that group members follow standard rules and regulations.

To determine your T and P scores:

1. Circle the item number for items 8, 12, 17, 18, 19, 30, 34, and 35.
2. Write the number 1 in front of a *circled item number* if you responded S (seldom) or N (never) to that item.
3. Also write a number 1 in front of *item numbers not circled* if you responded A (always) or F (frequently).
4. Circle the number 1's which you have written in front of the following items: 3, 5, 8, 10, 15, 18, 19, 22, 24, 26, 28, 30, 32, 34, and 35.
5. *Count the circled number 1's.* This is your score for concern for people. Record the score in the box following the letter P at the bottom of this page.
6. *Count the uncircled number 1's.* This is your score for concern for task. Record this number in the box following the letter T.

T = ☐ P = ☐

SELF TEST IV-2: IDEAL LEADER BEHAVIOR (LBDQ-IDEAL)*

DIRECTIONS:

a. READ each item carefully.
b. THINK about how frequently the leader *SHOULD* engage in the behavior described by the item.
c. DECIDE whether he *SHOULD* always, often, occasionally, seldom or never act as described by the item.
d. DRAW A CIRCLE around one of the five letters following the item to show the answer you have selected.

A – Always
B – Often
C – Occasionally
D – Seldom
E – Never

What the IDEAL leader SHOULD do:

1. Do personal favors for group members . . . . A B C D E
2. Make his [or her] attitudes clear to the group . . . . A B C D E
3. Do little things to make it pleasant to be a member of the group. . . . . A B C D E
4. Try out his [or her] new ideas with the group. . . . . A B C D E
5. Act as the real leader of the group. . . . . A B C D E
6. Be easy to understand. . . . . A B C D E
7. Rule with an iron hand. . . . . A B C D E
8. Find time to listen to group members. . . . . A B C D E
9. Criticize poor work. . . . . A B C D E
10. Give advance notice of changes. A B C D E
11. Speak in a manner not to be questioned. . . . . A B C D E
12. Keep to himself [or herself]. . . . . A B C D E
13. Look out for the personal welfare of individual group members. . . . . A B C D E
14. Assign group members to particular tasks. . . . . A B C D E
15. Be the spokes[person] of the group. . . . . A B C D E
16. Schedule the work to be done. . . . . A B C D E
17. Maintain definite standards of performance. . . . . A B C D E
18. Refuse to explain his [or her] actions. . . . . A B C D E
19. Keep the group informed. . . . . A B C D E
20. Act without consulting the group. . . . . A B C D E
21. Back up the members in their actions. . . . . A B C D E

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22. Emphasize the meeting of deadlines. . . . . A B C D E

23. Treat all group members as his [or her] equals. . . . . A B C D E

24. Encourage the use of uniform procedures. . . . . A B C D E

25. Get what he [or she] asks for from his [or her] superiors. . A B C D E

26. Be willing to make changes. . . . . A B C D E

27. Make sure that his [or her] part in the organization is understood by group members. A B C D E

28. Be friendly and approachable. . . . . A B C D E

29. Ask that group members follow standard rules and regulations. . . . . A B C D E

30. Fail to take necessary action. . . . . A B C D E

31. Make group members feel at ease when talking with them. . A B C D E

32. Let group members know what is expected of them. . . . . . A B C D E

33. Speak as the representative of the group. . . . . A B C D E

34. Put suggestions made by the group into operation. . . . . . . A B C D E

35. See to it that group members are working up to capacity. . . A B C D E

36. Let other people take away his [or her] leadership in the group. . . . . A B C D E

37. Get his [or her] superiors to act for the welfare of the group members. . . . . A B C D E

38. Get group approval in important matters before going ahead. . . . . A B C D E

39. See to it that the work of group members is coordinated. . . A B C D E

40. Keep the group working together as a team. . . . . A B C D E

Name________________________________

EXERCISE IV-1

DIRECTIONS:

1. Read Case Study IV-1 on page IV-18.
2. Answer each of the following questions using the space provided below and additional paper if necessary.
3. When completed to your satisfaction, be sure to make a copy for your records. Then place the original in an envelope and mail it for review by your Faculty Evaluator to:

Motivation: A Vital Force in the Organization
CLENE Home Study Project
P.O. Box 1228
620 Michigan Avenue, N.E.
Washington, DC 20064

Question 1: Based upon what you can glean from their respective actions and comments, speculate on the leadership styles of each of the principals in the Case Study:

Anne X:

Joan Y:

David B:

Sally K:

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Question 2: Try to plot each of their approaches on the Managerial Grid. On your answer sheet, you can indicate in which quadrant each of the individuals would fall by giving the coordinates of where you would place them: e.g., 9,9; 5,5; 7,4, etc.). Then justify your assignment of these coordinates to each of these individuals.

Question 3: Discuss how some of the variables presented in Topic IV (p. IV-15) might affect the leadership styles of each of the principals in the Case Study.

Name ______________________________
Optional

EVALUATION OF MODULE IV

Now that you have completed this module, we would appreciate having your reactions and critical comments. Please answer the questions below and feel free to make additional comments. If more space is needed, continue on the back of this page. Please mail to:

Motivation: A Vital Force in the Organization
CLENE Home Study Project
P.O. Box 1228
620 Michigan Avenue, N.E.
Washington, DC 20064

1. All things considered, how would you rate this module?

1	2	3	4
excellent	good	mediocre	poor

2. Were the directions and the instructions included throughout the module sufficient?

1	2	3	4
ample	sufficient	minimally sufficient	insufficient

3. Was the material presented in a logical form?

1	2	3	4
very logical	reasonably logical	minimally logical	illogical

4. Was there a sufficient variety of activities?

1	2	3	4
ample variety	sufficient	minimally sufficient	insufficient

5. Did the module contain the right amount of material?

1	2	3	4
too much	just right	about right	too little

6. What was the best thing about this module?

7. What was the worst thing about this module?

8. How many hours did you spend completing this module? _______ hours

Additional Comments:

Motivation: A Vital Force in the Organization

A HOME-BASED STUDY COURSE FOR LIBRARY/MEDIA/INFORMATION PERSONNEL

Module IV:

The Manager's Role in Motivation: Leadership Styles

Readings for Module IV

Produced by:

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Contents*

READING IV-1

"How to Choose a Leadership Pattern" 1

Robert Tannenbaum and Warren H. Schmidt

From: *Harvard Business Review*, 51:162-181, May/June 1973.

READING IV-2

"An Overview of the Grid®" 11

Robert R. Blake and Jane Srygley Mouton

From: *Training and Development Journal*, 29:29-37, May 1975.

READING IV-3

"Library Management: Consideration and Structure" 20

Rita Sparks

From: *Journal of Academic Librarianship*, 2:66-71, May 1976.

READING IV-4

"Leadership and Organizational Excitement" 26

David E. Berlew

From: *Organizational Psychology: A Book of Readings*, edited by David A. Kolb, Irwin M. Rubin, and James M. McIntyre. 2nd edition. 1974. Prentice-Hall, Inc.

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HBR Classic

Robert Tannenbaum and
Warren H. Schmidt

How to choose a leadership pattern

Should a manager be democratic or autocratic—or something in between?

Foreword

Since its publication in HBR's March-April 1958 issue, this article has had such impact and popularity as to warrant its choice as an "HBR Classic." Mr. Tannenbaum and Mr. Schmidt succeeded in capturing in a few succinct pages the main ideas involved in the question of how a manager should lead his organization. For this publication, the authors have written a commentary, in which they look at their article from a 15-year perspective (see page 4). ⛉Mr. Tannenbaum is Professor of the Development of Human Systems at the Graduate School of Management, University of California, Los Angeles. He is also a Consulting Editor of the *Journal of Applied Behavioral Science* and coauthor (with Irving Weschler and Fred Massarik) of *Leadership and Organization: A Behavioral Science Approach* (New York, McGraw-Hill, 1961). Mr. Schmidt is also affiliated with the UCLA Graduate School of Management, where he is Senior Lecturer in Behavioral Science. Besides writing extensively in the fields of human relations and leadership and conference planning, Mr. Schmidt wrote the screenplay for a film, "Is It Always Right to Be Right?" which won an Academy Award in 1970.

◇ "I put most problems into my group's hands and leave it to them to carry the ball from there. I serve merely as a catalyst, mirroring back the people's thoughts and feelings so that they can better understand them."

◇ "It's foolish to make decisions oneself on matters that affect people. I always talk things over with my subordinates, but I make it clear to them that I'm the one who has to have the final say."

◇ "Once I have decided on a course of action, I do my best to sell my ideas to my employees."

◇ "I'm being paid to lead. If I let a lot of other people make the decisions I should be making, then I'm not worth my salt."

◇ "I believe in getting things done. I can't waste time calling meetings. Someone has to call the shots around here, and I think it should be me."

Each of these statements represents a point of view about "good leadership." Considerable experience, factual data, and theoretical principles could be cited to support each statement, even though they seem to be inconsistent when placed together. Such contradictions point up the dilemma in which the modern manager frequently finds himself.

New problem

The problem of how the modern manager can be "democratic" in his relations with subordinates and at the same time maintain the necessary authority and control in the organization for which he is responsible has come into focus increasingly in recent years.

Earlier in the century this problem was not so acutely felt. The successful executive was generally pictured as possessing intelligence,

Robert Tannenbaum and Warren H. Schmidt, "How to Choose a Leadership Pattern." Reprinted with permission from *Harvard Business Review*, 51:162-181, May/June 1973. (Copyright © 1973 by the President and Fellows of Harvard College; all rights reserved).

imagination, initiative, the capacity to make rapid (and generally wise) decisions, and the ability to inspire subordinates. People tended to think of the world as being divided into "leaders" and "followers."

New focus: Gradually, however, from the social sciences emerged the concept of "group dynamics" with its focus on *members* of the group rather than solely on the leader. Research efforts of social scientists underscored the importance of employee involvement and participation in decision making. Evidence began to challenge the efficiency of highly directive leadership, and increasing attention was paid to problems of motivation and human relations.

Through training laboratories in group development that sprang up across the country, many of the newer notions of leadership began to exert an impact. These training laboratories were carefully designed to give people a firsthand experience in full participation and decision making. The designated "leaders" deliberately attempted to reduce their own power and to make group members as responsible as possible for setting their own goals and methods within the laboratory experience.

②

It was perhaps inevitable that some of the people who attended the training laboratories regarded this kind of leadership as being truly "democratic" and went home with the determination to build fully participative decision making into their own organizations. Whenever their bosses made a decision without convening a staff meeting, they tended to perceive this as authoritarian behavior. The true symbol of democratic leadership to some was the meeting —and the less directed from the top, the more democratic it was.

Some of the more enthusiastic alumni of these training laboratories began to get the habit of categorizing leader behavior as "democratic" or "authoritarian." The boss who made too many decisions himself was thought of as an authoritarian, and his directive behavior was often attributed solely to his personality.

New need: The net result of the research findings and of the human relations training based upon them has been to call into question the stereotype of an effective leader. Consequently, the modern manager often finds himself in an uncomfortable state of mind.

Often he is not quite sure how to behave; there are times when he is torn between exerting "strong" leadership and "permissive" leadership. Sometimes new knowledge pushes him in one direction ("I should really get the group to help make this decision"), but at the same time his experience pushes him in another direction ("I really understand the problem better than the group and therefore I should make the decision"). He is not sure when a group decision is really appropriate or when holding a staff meeting serves merely as a device for avoiding his own decision-making responsibility.

The purpose of our article is to suggest a framework which managers may find useful in grappling with this dilemma. First, we shall look at the different patterns of leadership behavior that the manager can choose from in relating himself to his subordinates. Then, we shall turn to some of the questions suggested by this range of patterns. For instance, how important is it for a manager's subordinates to know what type of leadership he is using in a situation? What factors should he consider in deciding on a leadership pattern? What difference do his long-run objectives make as compared to his immediate objectives?

Range of behavior

Exhibit I presents the continuum or range of possible leadership behavior available to a manager. Each type of action is related to the degree of authority used by the boss and to the amount of freedom available to his subordinates in reaching decisions. The actions seen on the extreme left characterize the manager who maintains a high degree of control while those seen on the extreme right characterize the manager who releases a high degree of control. Neither extreme is absolute; authority and freedom are never without their limitations.

Now let us look more closely at each of the behavior points occurring along this continuum.

The manager makes the decision and announces it.

In this case the boss identifies a problem, considers alternative solutions, chooses one of them, and then reports this decision to his subordinates for implementation. He may or may not give consideration to what he believes his subordinates will think or feel about his decision; in any case, he provides no opportunity for them to participate directly in the decision-making process. Coercion may or may not be used or implied.

The manager "sells" his decision.

Here the manager, as before, takes responsibility for identifying the problem and arriving at a decision. However, rather than simply announcing it, he takes the additional step of persuading his subordinates to accept it. In doing so, he recognizes the possibility of some resistance among those who will be faced with the decision, and seeks to reduce this resistance by indicating, for example, what the employees have to gain from his decision.

The manager presents his ideas, invites questions.

Here the boss who has arrived at a decision and who seeks acceptance of his ideas provides an opportunity for his subordinates to get a fuller explanation of his thinking and his intentions. After presenting the ideas, he invites questions so that his associates can better understand what he is trying to accomplish. This "give and take" also enables the manager and the subordinates to explore more fully the implications of the decision.

The manager presents a tentative decision subject to change.

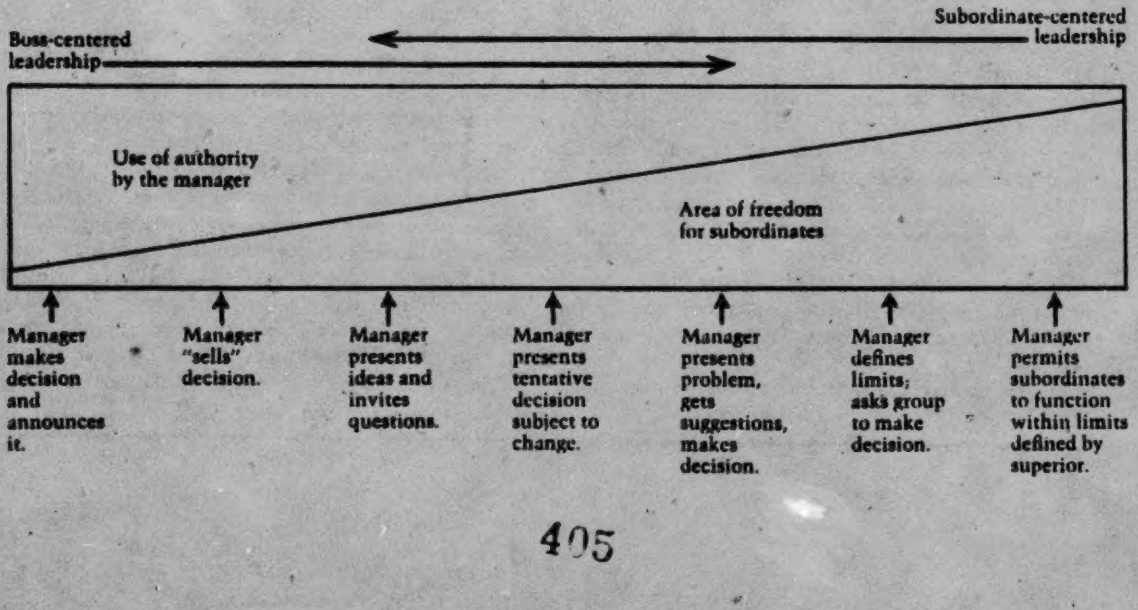
This kind of behavior permits the subordinates to exert some influence on the decision. The initiative for identifying and diagnosing the problem remains with the boss. Before meeting with his staff, he has thought the problem through and arrived at a decision—but only a tentative one. Before finalizing it, he presents his proposed solution for the reaction of those who will be affected by it. He says in effect, "I'd like to hear what you have to say about this plan that I have developed. I'll appreciate your frank reactions, but will reserve for myself the final decision."

The manager presents the problem, gets suggestions, and then makes his decision.

Up to this point the boss has come before the group with a solution of his own. Not so in this case. The subordinates now get the first chance to suggest solutions. The manager's initial role involves identifying the problem. He might, for example, say something of this sort: "We are faced with a number of complaints from newspapers and the general public on our service policy. What is wrong here? What ideas do you have for coming to grips with this problem?"

[Continued on page 6]

Exhibit 1. Continuum of leadership behavior


Boss-centered leadership
Subordinate-centered leadership
Use of authority by the manager
Area of freedom for subordinates
Manager makes decision and announces it.
Manager "sells" decision.
Manager presents ideas and invites questions.
Manager presents tentative decision subject to change.
Manager presents problem, gets suggestions, makes decision.
Manager defines limits; asks group to make decision.
Manager permits subordinates to function within limits defined by superior.

Retrospective commentary

Since this HBR Classic was first published in 1958, there have been many changes in organizations and in the world that have affected leadership patterns. While the article's continued popularity attests to its essential validity, we believe it can be reconsidered and updated to reflect subsequent societal changes and new management concepts.

The reasons for the article's continued relevance can be summarized briefly:

☐ The article contains insights and perspectives which mesh well with, and help clarify, the experiences of managers, other leaders, and students of leadership. Thus it is useful to individuals in a wide variety of organizations—industrial, governmental, educational, religious, and community.

☐ The concept of leadership the article defines is reflected in a continuum of leadership behavior (see *Exhibit I* in original article). Rather than offering a choice between two styles of leadership, democratic or authoritarian, it sanctions a range of behavior.

☐ The concept does not dictate to managers but helps them to analyze their own behavior. The continuum permits them to review their behavior within a context of other alternatives, without any style being labeled right or wrong.

(We have sometimes wondered if we have, perhaps, made it too easy for anyone to justify his or her style of leadership. It may be a small step between being nonjudgmental and giving the impression that all behavior is equally valid and useful. The latter was not our intention. Indeed, the thrust of our endorsement was for the manager who is insightful in assessing relevant forces within himself, others, and the situation, and who can be flexible in responding to these forces.)

In recognizing that our article can be updated, we are acknowledging that organizations do not exist in a vacuum but are affected by changes that occur in society. Consider, for example, the implications for organizations of these recent social developments:

◇ The youth revolution that expresses distrust and even contempt for organizations identified with the establishment.

◇ The civil rights movement that demands all minority groups be given a greater opportunity for participation and influence in the organizational processes.

◇ The ecology and consumer movements that challenge the right of managers to make decisions without considering the interest of people outside the organization.

◇ The increasing national concern with the quality of working life and its relationship to worker productivity, participation, and satisfaction.

These and other societal changes make effective leadership in this decade a more challenging task, requiring even greater sensitivity and flexibility than was needed in the 1950's. Today's manager is more likely to deal with employees who resent being treated as subordinates, who may be highly critical of any organizational system, who expect to be consulted and to exert influence, and who often stand on the edge of alienation from the institution that needs their loyalty and commitment. In addition, he is frequently confronted by a highly turbulent, unpredictable environment.

In response to these social pressures, new concepts of management have emerged in organizations. Open-system theory, with its emphasis on subsystems' interdependency *and* on the interaction of an organization with its environment, has made a powerful impact on managers' approach to problems. Organization development has emerged as a new behavioral science approach to the improvement of individual, group, organizational, and interorganizational performance. New research has added to our understanding of motivation in the work situation. More and more executives have become concerned with social responsibility and have explored the feasibility of social audits. And a growing number of organizations, in Europe and in the United States, have conducted experiments in industrial democracy.

In light of these developments, we submit the following thoughts on how we would rewrite certain points in our original article.

The article described forces in the manager, subordinates, and the situation as givens, with the leadership pattern a resultant of these forces. We would now give more attention to the *interdependency* of these forces. For example, such interdependency occurs in: (a) the interplay between the manager's confidence in his subordinates, their readiness to assume responsibility, and the level of group effectiveness; and (b) the impact of the behavior of the manager on that of his subordinates, and vice versa.

In discussing the forces in the situation, we primari-

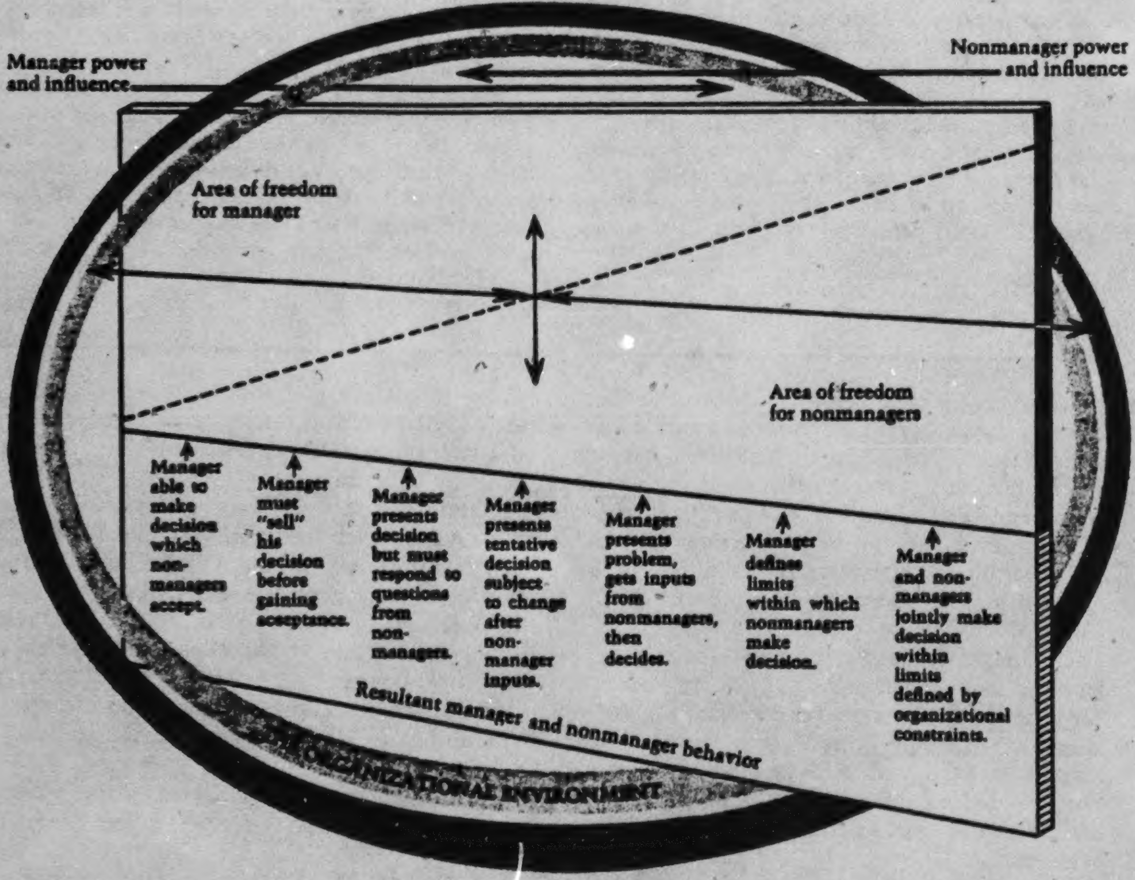
Retrospective commentary *(continued)*

ly identified organizational phenomena. We would now include forces lying outside the organization, and would explore the relevant interdependencies between the organization and its environment.

In the original article, we presented the size of the rectangle in *Exhibit I* as a given, with its boundaries already determined by external forces—in effect, a closed system. We would now recognize the possibility of the manager and/or his subordinates taking the initiative to change those boundaries through interaction with relevant external forces—both within their own organization and in the larger society.

The article portrayed the manager as the principal and almost unilateral actor. He initiated and determined group functions, assumed responsibility, and exercised control. Subordinates made inputs and assumed power only at the will of the manager. Although the manager might have taken into account forces outside himself, it was *he* who decided where to operate on the continuum—that is, whether to announce a decision instead of trying to sell his idea to his subordinates, whether to invite questions, to let subordinates decide an issue, and so on. While the manager has retained this clear prerogative in many

Exhibit II. Continuum of manager-nonmanager behavior


Manager power and influence
Nonmanager power and influence
Area of freedom for manager
Area of freedom for nonmanagers
Manager able to make decision which nonmanagers accept.
Manager must "sell" his decision before gaining acceptance.
Manager presents decision but must respond to questions from nonmanagers.
Manager presents tentative decision subject to change after nonmanager inputs.
Manager presents problem, gets inputs from nonmanagers, then decides.
Manager defines limits within which nonmanagers make decision.
Manager and nonmanagers jointly make decision within limits defined by organizational constraints.
Resultant manager and nonmanager behavior
ORGANIZATIONAL ENVIRONMENT

organizations, it has been challenged in others. Even in situations where he has retained it, however, the balance in the relationship between manager and subordinates at any given time is arrived at by interaction—direct or indirect—between the two parties.

Although power and its use by the manager played a role in our article, we now realize that our concern with cooperation and collaboration, common goals, commitment, trust, and mutual caring limited our vision with respect to the realities of power. We did not attempt to deal with unions, other forms of joint worker action, or with individual workers' expressions of resistance. Today, we would recognize much more clearly the power available to *all* parties, and the factors that underlie the interrelated decisions on whether to use it.

In the original article, we used the terms "manager" and "subordinate." We are now uncomfortable with "subordinate" because of its demeaning, dependency-laden connotations and prefer "nonmanager." The titles "manager" and "nonmanager" make the terminological difference functional rather than hierarchical.

We assumed fairly traditional organizational structures in our original article. Now we would alter our formulation to reflect newer organizational modes which are slowly emerging, such as industrial democracy, intentional communities, and "phenomenarchy." * These new modes are based on observations such as the following:

○ Both manager and nonmanagers may be governing forces in their group's environment, contributing to the definition of the total area of freedom.

○ A group can function without a manager, with managerial functions being shared by group members.

○ A group, as a unit, can be delegated authority and can assume responsibility within a larger organizational context.

Our thoughts on the question of leadership have prompted us to design a new behavior continuum (see *Exhibit II*) in which the total area of freedom shared by manager and nonmanagers is constantly redefined by interactions between them and the forces in the environment.

The arrows in the exhibit indicate the continual flow of interdependent influence among systems and people. The points on the continuum designate the types of manager and nonmanager behavior that become possible with any given amount of freedom available to each. The new continuum is both more complex and more dynamic than the 1958 version, reflecting the organizational and societal realities of 1973.

* For a description of phenomenarchy, see Will McWhinney, "Phenomenarchy: A Suggestion for Social Redesign," *Journal of Applied Behavioral Science*, May 1973.

The function of the group becomes one of increasing the manager's repertory of possible solutions to the problem. The purpose is to capitalize on the knowledge and experience of those who are on the "firing line." From the expanded list of alternatives developed by the manager and his subordinates, the manager then selects the solution that he regards as most promising.[1]

The manager defines the limits and requests the group to make a decision.

At this point the manager passes to the group (possibly including himself as a member) the right to make decisions. Before doing so, however, he defines the problem to be solved and the boundaries within which the decision must be made.

An example might be the handling of a parking problem at a plant. The boss decides that this is something that should be worked on by the people involved, so he calls them together and points up the existence of the problem. Then he tells them:

"There is the open field just north of the main plant which has been designated for additional employee parking. We can build underground or surface multilevel facilities as long as the cost does not exceed $100,000. Within these limits we are free to work out whatever solution makes sense to us. After we decide on a specific plan, the company will spend the available money in whatever way we indicate."

The manager permits the group to make decisions within prescribed limits.

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[1] For a fuller explanation of this approach, see Leo Moore, "Too Much Management, Too Little Change," HBR January-February 1956, p. 41.

This represents an extreme degree of group freedom only occasionally encountered in formal organizations, as, for instance, in many research groups. Here the team of managers or engineers undertakes the identification and diagnosis of the problem, develops alternative procedures for solving it, and decides on one or more of these alternative solutions. The only limits directly imposed on the group by the organization are those specified by the superior of the team's boss. If the boss participates in the decision-making process, he attempts to do so with no more authority than any other member of the group. He commits himself in advance to assist in implementing whatever decision the group makes.

Key questions

As the continuum in *Exhibit I* demonstrates, there are a number of alternative ways in which a manager can relate himself to the group or individuals he is supervising. At the extreme left of the range, the emphasis is on the manager—on what *he* is interested in, how *he* sees things, how *he* feels about them. As we move toward the subordinate-centered end of the continuum, however, the focus is increasingly on the subordinates—on what *they* are interested in, how *they* look at things, how *they* feel about them.

When business leadership is regarded in this way, a number of questions arise. Let us take four of especial importance:

Can a boss ever relinquish his responsibility by delegating it to someone else?

Our view is that the manager must expect to be held responsible by his superior for the quality of the decisions made, even though operationally these decisions may have been made on a group basis. He should, therefore, be ready to accept whatever risk is involved whenever he delegates decision-making power to his subordinates. Delegation is not a way of "passing the buck." Also, it should be emphasized that the amount of freedom the boss gives to his subordinates cannot be greater than the freedom which he himself has been given by his own superior.

Should the manager participate with his subordinates once he has delegated responsibility to them?

The manager should carefully think over this question and decide on his role prior to involving the subordinate group. He should ask if his presence will inhibit or facilitate the problem-solving process. There may be some instances when he should leave the group to let it solve the problem for itself. Typically, however, the boss has useful ideas to contribute, and should function as an additional member of the group. In the latter instance, it is important that he indicate clearly to the group that he sees himself in a *member* role rather than in an authority role.

How important is it for the group to recognize what kind of leadership behavior the boss is using?

It makes a great deal of difference. Many relationship problems between boss and subordinate occur because the boss fails to make clear how he plans to use his authority. If, for example, he actually intends to make a certain decision himself, but the subordinate group gets the impression that he has delegated this authority, considerable confusion and resentment are likely to follow. Problems may also occur when the boss uses a "democratic" façade to conceal the fact that he has already made a decision which he hopes the group will accept as its own. The attempt to "make them think it was their idea in the first place" is a risky one. We believe that it is highly important for the manager to be honest and clear in describing what authority he is keeping and what role he is asking his subordinates to assume in solving a particular problem.

Can you tell how "democratic" a manager is by the number of decisions his subordinates make?

The sheer *number* of decisions is not an accurate index of the amount of freedom that a subordinate group enjoys. More important is the *significance* of the decisions which the boss entrusts to his subordinates. Obviously a decision on how to arrange desks is of an entirely different order from a decision involving the introduction of new electronic data-processing equipment. Even though the widest possible limits are given in dealing with the first issue, the group will sense no particular degree of responsibility. For a boss to permit the group to decide equipment policy, even within rather narrow limits, would reflect a greater degree of confidence in them on his part.

Deciding how to lead

Now let us turn from the types of leadership which are possible in a company situation to the question of what types are *practical* and *desirable*. What factors or forces should a manager consider in deciding how to manage? Three are of particular importance:

○ Forces in the manager.
○ Forces in the subordinates.
○ Forces in the situation.

①

We should like briefly to describe these elements and indicate how they might influence a manager's action in a decision-making situation.[2] The strength of each of them will, of course, vary from instance to instance, but the manager who is sensitive to them can better assess the problems which face him and determine which mode of leadership behavior is most appropriate for him.

Forces in the manager: The manager's behavior in any given instance will be influenced greatly by the many forces operating within his own personality. He will, of course, perceive his leadership problems in a unique way on the basis of his background, knowledge, and experience. Among the important internal forces affecting him will be the following:

1. *His value system.* How strongly does he feel that individuals should have a share in making the decisions which affect them? Or, how convinced is he that the official who is

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[2] See also Robert Tannenbaum and Fred Massarik, "Participation by Subordinates in the Managerial Decision-Making Process," *Canadian Journal of Economics and Political Science*, August 1950, p. 413.

paid to assume responsibility should personally carry the burden of decision making? The strength of his convictions on questions like these will tend to move the manager to one end or the other of the continuum shown in *Exhibit I*. His behavior will also be influenced by the relative importance that he attaches to organizational efficiency, personal growth of subordinates, and company profits.[3]

2. *His confidence in his subordinates.* Managers differ greatly in the amount of trust they have in other people generally, and this carries over to the particular employees they supervise at a given time. In viewing his particular group of subordinates, the manager is likely to consider their knowledge and competence with respect to the problem. A central question he might ask himself is: "Who is best qualified to deal with this problem?" Often he may, justifiably or not, have more confidence in his own capabilities than in those of his subordinates.

3. *His own leadership inclinations.* There are some managers who seem to function more comfortably and naturally as highly directive leaders. Resolving problems and issuing orders come easily to them. Other managers seem to operate more comfortably in a team role, where they are continually sharing many of their functions with their subordinates.

4. *His feelings of security in an uncertain situation.* The manager who releases control over the decision-making process thereby reduces the predictability of the outcome. Some managers have a greater need than others for predictability and stability in their environment. This "tolerance for ambiguity" is being viewed increasingly by psychologists as a key variable in a person's manner of dealing with problems.

The manager brings these and other highly personal variables to each situation he faces. If he can see them as forces which, consciously or unconsciously, influence his behavior, he can better understand what makes him prefer to act in a given way. And understanding this, he can often make himself more effective.

Forces in the subordinate: Before deciding how to lead a certain group, the manager will also want to consider a number of forces affecting his subordinates' behavior. He will want to remember that each employee, like himself, is influenced by many personality variables. In addition, each subordinate has a set of expectations about how the boss should act in relation to him (the phrase "expected behavior" is one we hear more and more often these days at discussions of leadership and teaching). The better the manager understands these factors, the more accurately he can determine what kind of behavior on his part will enable his subordinates to act most effectively.

Generally speaking, the manager can permit his subordinates greater freedom if the following essential conditions exist:

○ If the subordinates have relatively high needs for independence. (As we all know, people differ greatly in the amount of direction that they desire.)

○ If the subordinates have a readiness to assume responsibility for decision making. (Some see additional responsibility as a tribute to their ability; others see it as "passing the buck.")

○ If they have a relatively high tolerance for ambiguity. (Some employees prefer to have clear-cut directives given to them; others prefer a wider area of freedom.)

○ If they are interested in the problem and feel that it is important.

○ If they understand and identify with the goals of the organization.

○ If they have the necessary knowledge and experience to deal with the problem.

○ If they have learned to expect to share in decision making. (Persons who have come to expect strong leadership and are then suddenly confronted with the request to share more fully in decision making are often upset by this new experience. On the other hand, persons who have enjoyed a considerable amount of freedom resent the boss who begins to make all the decisions himself.)

The manager will probably tend to make fuller use of his own authority if the above conditions do *not* exist; at times there may be no realistic alternative to running a "one-man show."

The restrictive effect of many of the forces will, of course, be greatly modified by the general feeling of confidence which subordinates have in the boss. Where they have learned to respect and trust him, he is free to vary his behavior. He will feel certain that he will not be perceived as an authoritarian boss on those occasions when he makes decisions by himself. Similarly, he will not be seen as using staff meetings to avoid his decision-making responsibility. In a climate of mutual confidence and respect, people tend to feel less threatened by deviations from normal practice, which in turn makes possible a higher degree of flexibility in the whole relationship.

Forces in the situation: In addition to the forces which exist in the manager himself and in his subordinates, certain characteristics of the general situation will also affect the manager's behavior. Among the more critical environmental pressures that surround him are those which stem from the organization, the work group, the nature of the problem, and the pressures of time. Let us look briefly at each of these:

Type of organization—Like individuals, organizations have values and traditions which inevitably influence the behavior of the people who work in them. The manager who is a newcomer to a company quickly discovers that certain kinds of behavior are approved while others are not. He also discovers that to deviate radically from what is generally accepted is likely to create problems for him.

These values and traditions are communicated in numerous ways—through job descriptions, policy pronouncements, and public statements by top executives. Some organizations, for example, hold to the notion that the desirable executive is one who is dynamic, imaginative, decisive, and persuasive. Other organizations put more emphasis upon the importance of the executive's ability to work effectively with people—his human relations skills. The fact that his superiors have a defined concept of what the good executive should be will very likely push the manager toward one end or the other of the behavioral range.

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[3] See Chris Argyris, "Top Management Dilemma: Company Needs vs. Individual Development," *Personnel*, September 1955, pp. 123-134.

In addition to the above, the amount of employee participation is influenced by such variables as the size of the working units, their geographical distribution, and the degree of inter- and intra-organizational security required to attain company goals. For example, the wide geographical dispersion of an organization may preclude a practical system of participative decision making, even though this would otherwise be desirable. Similarly, the size of the working units or the need for keeping plans confidential may make it necessary for the boss to exercise more control than would otherwise be the case. Factors like these may limit considerably the manager's ability to function flexibly on the continuum.

Group effectiveness—Before turning decision-making responsibility over to a subordinate group, the boss should consider how effectively its members work together as a unit.

One of the relevant factors here is the experience the group has had in working together. It can generally be expected that a group which has functioned for some time will have developed habits of cooperation and thus be able to tackle a problem more effectively than a new group. It can also be expected that a group of people with similar backgrounds and interests will work more quickly and easily than people with dissimilar backgrounds, because the communication problems are likely to be less complex.

The degree of confidence that the members have in their ability to solve problems as a group is also a key consideration. Finally, such group variables as cohesiveness, permissiveness, mutual acceptance, and commonality of purpose will exert subtle but powerful influence on the group's functioning.

The problem itself—The nature of the problem may determine what degree of authority should be delegated by the manager to his subordinates. Obviously he will ask himself whether they have the kind of knowledge which is needed. It is possible to do them a real disservice by assigning a problem that their experience does not equip them to handle.

Since the problems faced in large or growing industries increasingly require knowledge of specialists from many different fields, it might be inferred that the more complex a problem, the more anxious a manager will be to get some assistance in solving it. However, this is not always the case. There will be times when the very complexity of the problem calls for one person to work it out. For example, if the manager has most of the background and factual data relevant to a given issue, it may be easier for him to think it through himself than to take the time to fill in his staff on all the pertinent background information.

The key question to ask, of course, is: "Have I heard the ideas of everyone who has the necessary knowledge to make a significant contribution to the solution of this problem?"

The pressure of time—This is perhaps the most clearly felt pressure on the manager (in spite of the fact that it may sometimes be imagined). The more that he feels the need for an immediate decision, the more difficult it is to involve other people. In organizations which are in a constant state of "crisis" and "crash programming" one is likely to find managers personally using a high degree of authority with relatively little delegation to subordinates. When the time pressure is less intense, however, it becomes much more possible to bring subordinates in on the decision-making process.

These, then, are the principal forces that impinge on the manager in any given instance and that tend to determine his tactical behavior in relation to his subordinates. In each case his behavior ideally will be that which makes possible the most effective attainment of his immediate goal within the limits facing him.

Long-run strategy

As the manager works with his organization on the problems that come up day by day, his choice of a leadership pattern is usually limited. He must take account of the forces just described and, within the restrictions they impose on him, do the best that he can. But as he looks ahead months or even years, he can shift his thinking from tactics to large-scale strategy. No longer need he be fettered by all of the forces mentioned, for he can view many of them as variables over which he has some control. He can, for example, gain new insights or skills for himself, supply training for individual subordinates, and provide participative experiences for his employee group.

In trying to bring about a change in these variables, however, he is faced with a challenging question: At which point along the continuum *should* he act?

Attaining objectives: The answer depends largely on what he wants to accomplish. Let us suppose that he is interested in the same objectives that most modern managers seek to attain when they can shift their attention from the pressure of immediate assignments:

1. To raise the level of employee motivation.
2. To increase the readiness of subordinates to accept change.
3. To improve the quality of all managerial decisions.
4. To develop teamwork and morale.
5. To further the individual development of employees.

In recent years the manager has been deluged with a flow of advice on how best to achieve these longer-run objectives. It is little wonder that he is often both bewildered and annoyed. However, there are some guidelines which he can usefully follow in making a decision.

Most research and much of the experience of recent years give a strong factual basis to the theory that a fairly high degree of subordinate-centered behavior is associated with the accomplishment of the five purposes mentioned.[4] This does not mean that a manager should always leave all decisions to his assistants. To provide the individual or the group with greater freedom than they are ready for at any given time may very well tend to generate anxieties and therefore inhibit rather than facilitate the attainment of desired objectives. But this should not keep the manager from making a continuing effort to confront his subordinates with the challenge of freedom.

Conclusion

In summary, there are two implications in the basic thesis that we have been developing. The first is that the successful leader is one who is keenly aware of those forces which are most relevant to his behavior at any given time. He accurately understands himself, the individuals and group he is dealing with, and the company and broader social environment in which he operates. And certainly he is able to assess the present readiness for growth of his subordinates.

But this sensitivity or understanding is not enough, which brings us to the second implication. The successful leader is one who is able to behave appropriately in the light of these perceptions. If direction is in order, he is able to direct; if considerable participative freedom is called for, he is able to provide such freedom.

Thus, the successful manager of men can be primarily characterized neither as a strong leader nor as a permissive one. Rather, he is one who maintains a high batting average in accurately assessing the forces that determine what his most appropriate behavior at any given time should be and in actually being able to behave accordingly. Being both insightful and flexible, he is less likely to see the problems of leadership as a dilemma.

[4] For example, see Warren H. Schmidt and Paul C. Buchanan, *Techniques that Produce Teamwork* (New London, Arthur C. Croft Publications, 1954); and Morris S. Viteles, *Motivation and Morale in Industry* (New York, W.W. Norton & Company, Inc., 1953).

An Overview of the Grid®

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organizations can change but, will they?

Robert R. Blake
Jane Srygley Mouton

Dramatic changes are occurring in the way Americans handle their affairs. This is true across the spectrum, from commercial firms to government agencies, to schools and universities. What these are, and how they can be met and brought under management is discussed below.

Breakdown of Authority and Obedience

In the past, bosses could exercise work-or-starve authority over their subordinates. They expected and got obedience from them. Authority-obedience was the basis for supervision that built pyramids, big ships, great armies and that made Prussia famous.

But authority-obedience as a way of life has been under greater and greater attack for the past hundred years. Though wars tended to bring it back, during peacetime it became more and more objectionable as a basis for getting people to cooperate. But today, in an environment of vastly improved education and of relative affluence, many are rejecting traditional authority and trying to set up and act upon their own.

The year 1968 might be taken as the beginning of the end for authority-obedience as the control mechanism of American society. That was the year when Detroit and Watts burned. It was when young people were burning their draft cards and dodging the draft by heading for Canada, Sweden and elsewhere. And it was when several universities' presidents were held as hostages in their offices. Furthermore, truancy, runaways and drug problems tell us that the old family pattern where father was boss and the children complied with his authority has crumbled too.

The 1964 Civil Rights Act put society on notice that equality, not authority and obedience, was to be the basis for race relations in the future. Other federal legislation established standards for organizations to be more responsible for the safety of their employees, for their customers and for the everyday citizen as well. Understanding all this new-found and partly enforced equality and social justice and the motivations that underlie it is important for comprehending the new day that is emerging.

These many influences tell us as far as bosses and subordinates are concerned that authority and obedience is no longer the name of the game.

The new relationship between a "boss" and a "subordinate" is such that they seek to reach mutual understanding and agreement as to the course of action to be taken, as well as how to go about it. Before coming to any conclusion on the "how," though, the *main* alternative ways of managing will be presented. First examined is how management occurs under an authority-obedience system and its strengths and weaknesses. Then the "love conquers all" proposition will be considered. This is where the boss says, "If my subordinates love me, they'll do what I want without me having to tell them."

Then those hard-to-notice managers who are doing the least amount to get by on a "see no evil, speak no evil, hear no evil" basis will be viewed. Next to be described is the "halfway is far enough" manager who deals with problems by compromise, adjustment, and accommodation of ⑫ differences, by being willing to do what's "practical." Finally the possibility already introduced, seeking for excellence through getting the highest possible involvement-participation-commitment to organization purpose up and down the line, is evaluated.

The Grid®

The Grid is a way of sorting out all these possibilities and seeing how each compares with the others. What is involved is this:

The Grid, shown in Figure 1, clarifies and crystallizes many of the different possible ways of supervision. Here is the basis of it. Any person who is working has some assigned responsibilities. This is true whether he or she works very low on the job ladder or high up in the organization. There are two matters on his or her mind whenever acting as a manager. One is *production* — getting results, or accomplishing the mission. How intensely he or she thinks about results can be described as a degree of concern for production. On the Grid, the horizontal axis stands for concern for production. It is a nine-point scale where *9* shows high concern for production and *1*, low concern.

A manager is also thinking about those whose work he or she directs, because he or she has to get results through people. The Grid's vertical axis represents this concern for people. This, too, is on a nine-point scale with 9 a high degree and 1 a low degree.

The Grid identifies these two concerns. It does so in a way that enables a person to see how the two concerns interact. Various "theories" are found at points of intersection of the two scales. Whether he or she realizes it or not, these are theories that different managers use when they think about how to get results through people. Five of the many possible theories or styles of management mentioned earlier stand out clearly. They appear in the four corners and in the center of the Grid.

Going Around the Grid

As can be seen from the Grid figure, in the lower right corner, 9,1 represents a great deal of concern for output but little for the people who are expected to produce. 9,1 is the authority-obedience theory. At the opposite corner of the Grid, the top left, is the 1,9 theory. It's the "love conquers all" approach. In the lower left Grid corner is 1,1. It might seem odd that a manager could have almost no concern for either production or people. He or she goes through the motions of being part of the organization but is not really contributing to it. But such managers do exist, even though they may not be easy to notice until you know their theory. They are not doers but freeloaders, getting by on a "speak no, hear no, see no evil" basis. They have not physically quit the firm, but they walked out mentally, perhaps many years ago.

In the center is the 5,5 style. The manager with this approach is going up the middle of the road. His or her attitude is, "Get results but don't kill yourself! Don't push too much or you will be seen as a 'hard nose.' Don't let people off too easily or they will think you are soft. Be fair but firm. Do the job but find a comfortable tempo." The 5,5 manager is an "organization man."

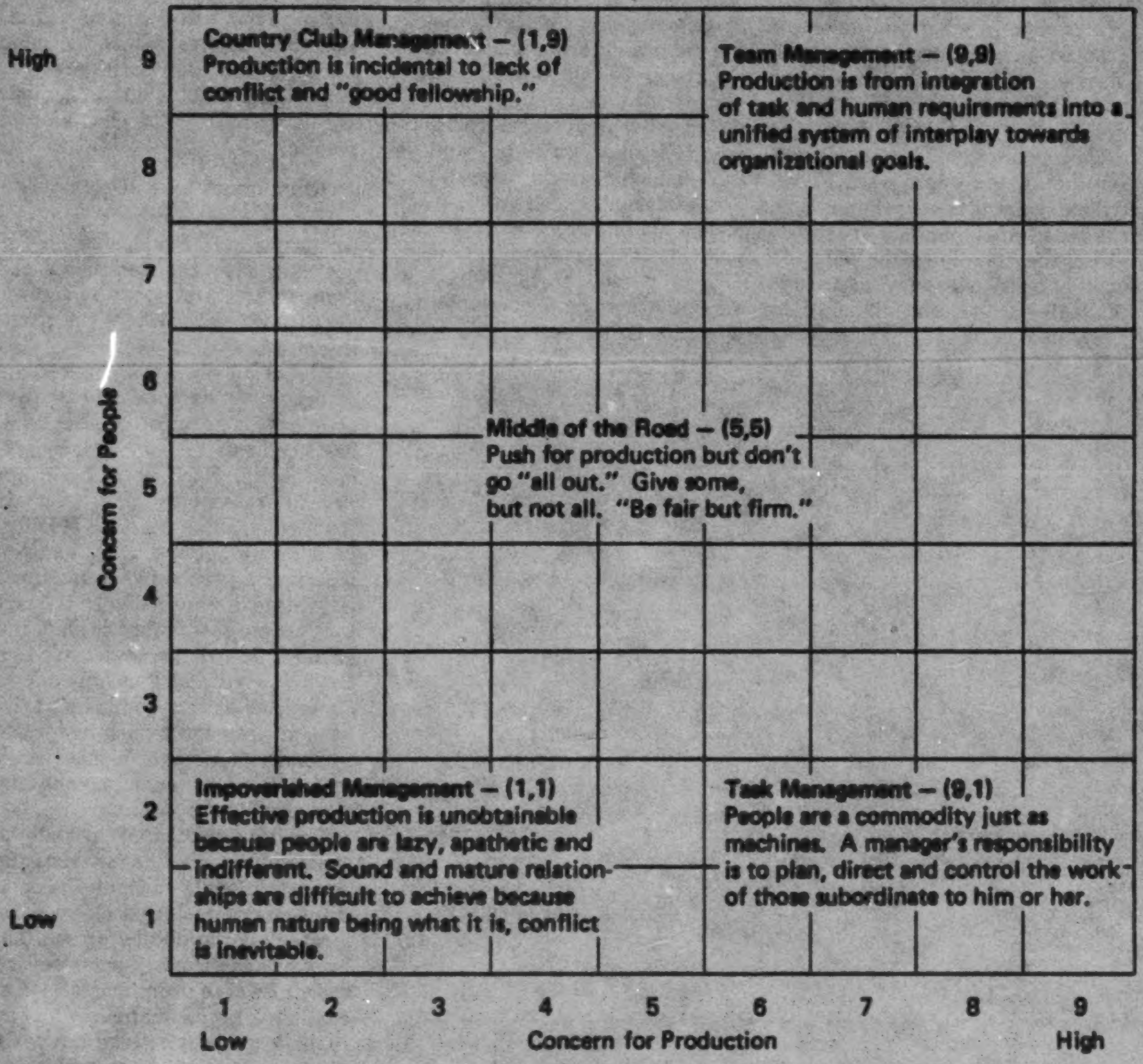
The upper right corner, the 9,9 position, is high concern for production united with high concern for people. A person who manages according to this theory stresses understanding and agreement through involvement - participation-commitment as the key to solving boss-subordinate problems. Whenever disagreements arise, he or she sees to it that facts are examined. The problem is thrashed through to solution in an open and aboveboard way that can result in mutual understanding with full commitment to conclusions reached. People working together in a 9,9 manner know that they have a common stake in the outcome of their endeavors. They mesh effort in an interdependent way. The 9,9 theory doesn't abide by the laws of simple arithmetic. On the joining of contributions, "one" plus "one" can add up to "three."

You may have figured out that there are 81 combinations of concerns represented on the Grid. Adjacent to 9,1 are 8,2 and 7,3. And 1,9 has 2,8 and 3,7 near it. There are 3,3, 4,4, 6,6, 7,7 along the diagonal between 1,1 and 9,9 and so on. But our main emphasis is on the theories in the corners and at the middle of the Grid. These are the most distinct styles. They're the ones you see most often. But you might think of a Grid style as you do shades of hair — black, brown, red, blond and white.

Within each hair shade there's a variety — for example, twenty-seven different ways to be blond — yet on your driver's license the outstanding feature is enough for identification. The five main Grid styles, too, are broadly descrip-

Figure 1.

The Managerial Grid[1]



Country Club Management – (1,9)
Production is incidental to lack of conflict and "good fellowship."

Team Management – (9,9)
Production is from integration of task and human requirements into a unified system of interplay towards organizational goals.

Middle of the Road – (5,5)
Push for production but don't go "all out." Give some, but not all. "Be fair but firm."

Impoverished Management – (1,1)
Effective production is unobtainable because people are lazy, apathetic and indifferent. Sound and mature relationships are difficult to achieve because human nature being what it is, conflict is inevitable.

Task Management – (9,1)
People are a commodity just as machines. A manager's responsibility is to plan, direct and control the work of those subordinate to him or her.

⑬

tive. We'll use them in much the same way. While talking about 9,1, remember it's just a tinge away to 8,2 or 7,3, or a halftone or so to 6,4, but all these neighboring combinations describe behavior in broadly similar ways.

Basic Assumptions

Grid theories describe sets of basic assumptions under which people deal with one another. An *assumption* is what you take for granted as being true or reliable. Maybe you learned most of your present-day assumptions as you grew up. "I have to be . . . (a tough character or nice person) . . . to get what I want," illustrates some assumptions from childhood that persist. In supervision they lay down the pathway of the boss' everyday approach. Managers act on the assumptions they hold even though it may be rare for you to put them into words. The same set of assumptions usually underlies a whole range of attitudes and activities.

For example, a 1,9-oriented boss who wants to please subordinates may be quite inventive in finding all sorts of ways to show personal warmth. His or her behavior may not be so simple as to say "I appreciate you and everything you do" 25 times a day, but, nonetheless, the subordinate dominates his or her thoughts and concerns. His or her subordinate might say, "I never know what nice surprise the boss will think up next," and yet the manager's core assumptions are remarkably consistent — to please his or her subordinate and win their appreciation.

Were persons to act without assumptions, their behavior would be random, purposeless; it would make no sense in any predictable way. Even so, it is not enough just to have a set of assumptions — any old set. Faulty assumptions can ruin a manager. More reliable ones can enhance his or her work and enrich his or her life on the job, not to mention elsewhere. When a person acting under any set of assumptions understands them, this Grid knowledge can aid him or her to predict what the impact of his or her behavior will be on colleagues and subordinates. Thus, learning the Grid framework will help you understand what kinds of actions are likely to lead to what kind of results.

"Dominants" and "Backups"

Does a manager have just one Grid style strategy or does he or she skip over the surface of the Grid, shifting and adapting according to how he or she sees the situation?

All but a very few do have characteristic styles which, presently, they are using most of the time. Let's call this the manager's *dominant* style. Each boss' basic approach resembles one that is founded on either 9,1; 1,9; 5,5; 1,1; or 9,9 assumptions. How can the idea that a person has a dominant Grid style be squared with the fact that people observably do shift and change? It can be understood in the following way. Not only does a supervisor have a dominant style, he or she also has a back-up strategy, and sometimes a third strategy to fall back on even beyond the second way of operating.

The back-up strategy is likely to show when a manager runs up against difficulty in using the dominant strategy. A back-up Grid strategy is the one he or she falls back on, particularly when feeling the strain of tension, frustration or conflict. This can happen when initial efforts meet nothing but resistance or when, at the point of getting down to working on a project the subordinate's enthusiasm turns to stubborn reluctance.

Apparent complexity, when you

first encounter it, can be confusing. Maybe you have played with a kaleidoscope. It contains bits of glass, not many, of different shapes and colors, and these can arrange themselves in an endless variety of patterns that you see reflected from its mirrors. Children are fascinated yet bewildered by this. When the key to understanding has been found, however, what previously appeared bewildering now makes sense.

Any Grid style can be a back-up to any other. For example, even a 1,9 - oriented manager, when sharply challenged, might turn stubborn and go 9,1. Again, a person who normally deals in a 9,9 way may meet continued resistance from a subordinate. Unable to find a way of getting on to an action basis with him or her, he or she may shift to a 5,5 approach, negotiating for some kind of compromise where both boss and subordinate will be partially satisfied.

There are no natural links between one particular Grid style and another in terms of dominant-to-back-up. It all depends on the individual and his or her situation. You may sometimes see a person who habitually comes on in a 9,1 way, pressing hard for a time, then breaking off, crestfallen. He or she has switched to a different set of assumptions and moved back to a 1,1 state of resignation, feeling a sense of powerlessness, feeling that he or she is a victim of hostile fate. Who knows, had he or she used a different style from the beginning, or another set of back-up assumptions, and continued talking with the subordinate, he or she might have gotten the reaction desired.

The 9,9 approach is acknowledged by managers as the soundest way to achieve excellence. This conclusion has been verified from studies throughout the U.S. and around the world. The 9,9 theory defines a model that people say with conviction they want, not only for a guide to their own conduct but also as a model of what they want their organization and agencies to become.

That's what the Grid is. The Grid can be used to investigate how a boss supervises in everyday work. There are many boss-subordinate issues that can be looked at in this way. How boss and subordinate communicate is one. Another is the manner in which the boss gives work directions. Others involve managing mistakes, dealing with complaints, and how the boss reacts to hostile feelings.

Change

There are many approaches to change and development, but two are of particular importance in business, industry and government. One critical development step involves the matter of performance evaluation, i.e., how the boss talks with a subordinate to help him or her increase effectiveness. This is individual development. The other, to be treated later, involves *organization development*.

Individual Development

A special word needs to be said about person-to-person individual development. One of the major approaches used today to help people develop involves having bosses interview their subordinates, usually once a year but with the option of doing so more frequently, to help each subordinate see how he or she is performing and how he or she might do better.

This performance review and evaluation involves a more or less prescribed procedure. It starts with the boss and (in principle) the subordinate mutually setting up performance standards and measures of results. The second step, perhaps a year later, or at the end of a briefer period, is for the boss and subordinate to hold another session to review how well the subordinate did in meeting specific and agreed performance standards.

Then, whether simultaneously at annual performance rating time or not, the boss, working alone, also calibrates subordinate performance in terms of standard categories on a rating for such as "responsibility" and "initiative," which apply to all jobs. These evaluations are intended to be used for several purposes. One is for aiding a subordinate to see how he or she can improve performance. Another is to identify special training and development opportunities. Most generally they are used as the basis for pay raises, promotion and termination.

A boss can do any one of these things in a 9,1, 1,9, 1,1, 5,5, or 9,9 way, and, as you can well appreciate, the quality of individual development, if any, hangs in the balance.

Organization Development

Sound management can only meet the challenge of change by seeing the deeper issue: organization development. But a blueprint of an excellent organization is needed to describe an organization so well managed that it can grasp opportunity from the challenge of change. What would such an organization be like?

1. *Its objectives would be sound, strong and clear.* Its leaders would know where it was headed and how to get there. Its objectives would also be understood and embraced by all members of the management body. These persons would strive to contribute because the organization's objectives and their own goals would be consistent. There would be a high level of commitment to organization goals as well as to personal goals. Commitment would be based on understanding. To be understood, goals would be quite specific.

Every business has an objective "profit." But this is too vague to motivate persons to greater effectiveness. Profit needs to be converted into concrete objectives. One might be, "To develop a position in the plastic industry which will service 20 percent of this market within the next five years." In a government organization, a specific objective might be "To establish six urban renewal demonstration projects distributed by regions and by city size within 10 months." Government objectives would be implemented through program planning and budgeting rather than the profit motive.

2. *Standards of excellence would be high.* Managers would be thoroughly acquainted with their areas of operation. A premium would be placed on knowledge and thorough analysis rather than on opinion and casual thought.

3. *The work culture would support the work.* It would be an organization culture in which the members would be highly committed to achieving the goals of the organization, with accomplishment the source of individual gratification.

4. *Teamwork would increase individual initiative.* There would be close cooperation within a work team, each supporting the others to get a job done. Teamwork would cut across department lines.

5. *Technical business knowledge is needed.* This is critical for valid decision-making and problem-solving and would come through coaching, developmental assignments, on-the-job training and special courses.

6. *Leadership would be evident.* With sound objectives, high standards of excellence, a culture characterized by high commitment, sound teamwork and technical know-how, productivity would increase.

The way of life or culture of an organization can be a barrier to effectiveness. Barriers may stem from such elements of culture as the attitudes or traditions present in any unit of the organization. Culture both limits and guides the actions of the persons in the organization. Because of traditional ways and fear of change, an organization's leaders may be reluctant to apply modern management science. Yet, the need for change may be quite evident.

Criteria for Change

A sound approach to introducing change and improvement is a *Grid Organization Development* effort. It should:

1. *Involve the widest possible participation of executives, managers and supervisors* to obtain a common set of concepts about how management can be improved.

2. *Be carried out by the organization itself.* The development of subordinates is recognized as part of the manager's job. When organization members from the line become the instructors, higher management's commitment, understanding and support for on-the-job application and change are ensured.

3. *Aim to improve the skills of executives and supervisors who must work together to improve management.* This means the skills of drawing on each other's knowledge and capacities, of making constructive use of disagreement and of making sound decisions to which members become committed.

4. *Aim to improve the ability of all managers to communicate better* so that genuine understanding can prevail.

5. *Clarify styles of management* so that managers learn how the elements of a formal management program (e.g., planned objectives, defined responsibilities, established policies) can be used without the organization's becoming overly formal and complex or unduly restricting personal freedom and needed individual initiative.

6. *Aid each manager to investigate managerial style* to understand its impact and learn to make changes to improve it.

7. *Provide for examination of the organization's culture* to develop managers' understanding of the cultural barriers to effectiveness and how to eliminate them.

8. *Constantly encourage managers to plan and introduce improvements* based on their learnings and analysis of the organization.

How To Get There

Grid Organization Development is one way of increasing the effectiveness of an organization, whether it is a company, a public institution or a government agency. The behavioral science concepts on which organization development is based reach back more than 50 years. Because organization development itself is only a decade or so old, those unfamiliar with its rationale may look upon it with doubt or skepticism, see it as a mystery or a package, a gimmick or a fad. Experience pinpoints which behavioral science concepts are tied to the struggle for a more effective organization. This has done much to help managers apply the pertinent concepts to everyday work.

There are several questions preceding the definition of organization development as it is applied to raise an organization's capacity to operate by using behavioral science concepts. One question is, "What is an organization?" Another is, "What is meant by development?" Finally, "What is it that organization development adds to the organization, that it lacks without it?" The goal of organization development is to increase operational effectiveness by increasing the degree of integration of the organization around its profit/production/or service purpose.

It seems almost self-evident that everyone in an organization would have a clear idea of the *purpose* toward which its efforts were being directed. Yet this is seldom true. For many persons, an organization's purpose is fuzzy, unrealistic and with little force as a motivator. A major organization development contribution is to clarify organization purposes and identify individual goals with them to increase efforts toward their attainment.

As for the *human interaction* process, some styles of managing may decrease a person's desire to contribute to the organization's purpose. The kind of supervision exercised not only fails to make a subordinate feel "in" but even serves to make him or her feel "out." His or her efforts are alienated rather than integrated. This may hold true in the coordination of efforts between organized units. Relationships between divisions, for example, may deteriorate into the kind of disputes that can be reconciled only through arbitration by higher levels of management. At best, they are likely to encourage attitudes of appeasement and compromise.

The organization's *culture*, its history, its traditions, its customs and habits which have evolved from earlier interaction and have become norms regulating human actions and conduct may be responsible for many of the organization's difficulties and a low degree of integration within it.

Organization development deliberately shifts the emphasis away from the organization's structure, from human technical skill, from wherewithal and results *per se* as it diagnoses the organization's ills. Focusing on organization purpose, the human interaction process and organization culture, it accepts these as the areas in which problems are preventing the fullest possible integration within the organization. Once an organization has moved to the point of which the three key properties are fully developed, the problems that originally seemed to be related to the others are more easily corrected.

Six Phase Approach

How, specifically, does one go about organization development? The Managerial Grid is one way of achieving it. The six-phase approach provides the various methods and activities for doing so.

Phase 1 of the six-phase approach involves study of *The Managerial Grid*. Managers learn the Grid concepts in seminars of a week's length.

These seminars are conducted both on a "public" and on an internal basis. They involve hard work. The program requires 30 or more hours of guided study before the beginning of the seminar week. A seminar usually begins Sunday evening, and participants work morning, afternoon and evening through the following Friday.

The sessions include investigation by each person of his or her own managerial approach and alternative ways of managing which he or she is able to learn, experiment with and apply. He or she measures and evaluates team effectiveness in solving problems with others. He or she also studies methods of team action. A high point of Grid Seminar learning is when he or she receives a critique of style of managerial thoughts and performance from other members of his or her team. The emphasis is on personal style of managing, not on character or personality traits. Another high point of the Grid Seminar is when the manager critiques the style of his or her organization's culture, its traditions, precedents and past practices, and begins to consider steps for increasing the effectiveness of the whole organization.

Participants in a Grid Seminar can expect to gain insight into their own and other managerial approaches and develop new ways to solve managerial problems. They can expect to improve team effectiveness skills. They will on completion of Phase 1 have new standards of candor to bring to work activities and a greater awareness of the effects of his company's culture upon the regulation of work.

Comments are often heard to the effect, "The Grid has helped me to better understanding and is useful in many aspects of my life." But the vital question is in the use made of Phase 1 learning. The test for the manager is usefulness on the job. To direct this usefulness to the work situation, and incidentally enhance it from a personal point of view, one proceeds to Phase 2.

Work Team Development

Phase 2 is Work Team Development. As the title suggests, work team development is concerned with development of the individual and the work team. Phases 1 and 2 are often viewed as *management* development, while Phases 3 through 6 move into true *organization development*. The purpose of Phase 2 is to aid work team members to apply their Phase 1 learning directly to the operation of their team.

Individual effort is the raw material out of which sound teamwork is built! It cannot be had just for the asking. Barriers that prevent people from talking out their problems need to be overcome before their full potential can be realized.

Work team development starts with the key executive and those who report to him or her. It then moves down through the organization. Each supervisor sits down with subordinates as a team. They study their barriers to work effectiveness and plan ways to overcome them.

An important result to be expected from the Phase 2 effort is teamwide agreement on ground rules for team operation. The team may also be expected to learn to use critique to improve teamwork on the job. Teamwork is increased through improving communication, control and problem-solving. Getting greater objectivity into work behavior is vital to improved teamwork.

A team analysis of the team culture and operating practices precedes the setting of goals for improvement of the team operation along with a time schedule for achieving these goals. Tied into the goal-setting for the team is personal goal-setting by team members. This might be a goal for trying to change aspects of behavior so as to increase a member's

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contribution to teamwork. Setting standards for achieving excellence are involved throughout the process.

Intergroup Development

Phase 3 is Intergroup Development. It represents the first step in Grid OD that is applied to organization components rather than to individuals. Its purpose is to achieve *better problem-solving between groups through a closer integration of units that have working interrelationships!*

Managers examine and analyze these working relationships to strengthen and unify the organization across the board. Some dramatic examples of successful Phase 3 applications between labor and management groups are on record. Other units that might appropriately be involved in Phase 3 would be a field unit and the headquarters group to whom it reports, or two sections within a division, or a region and its reporting parent group. It is the matter of coordination between such units that is the target of Phase 3. Problems of integration may be problems of function or merely problems in terms of level.

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Management is inclined to solve the problem of functional coordination by setting up systems of reporting and centralized planning. Misunderstandings or disagreements between levels are often viewed as "a communications problem." Phase 3, in recognition that many problems are relationship problems, seeks closer integration of units through the exchange and comparison of group images as set forth by the members of two groups.

Areas of misunderstandings are identified while conditions are created to reduce such intergroup problems and plan steps of operational coordination between the groups. Only groups that stand in a direct, problem-solving relationship with one another and share a need for improved coordination participate in Phase 3 intergroup development. And only those members with key responsibilities for solving the coordination problem are participants.

The activities of Phase 3 naturally follow Phase 2 because when there is conflict between working teams, if the teams themselves have already had the opportunity to solve their internal problems, they are prepared to engage in activities designed to solve their problem of working together. Phase 3 also can be expected to clear the decks for Phases 4 and 5. Any past intergroup problems that were barriers to coordinated effort are solved before the total organization development effort is launched in the latter phases.

A successful Phase 3 will link groups vertically and horizontally and reduce intergroup blockages. This increases the problem-solving between departments, divisions and other segments wherever coordination of effort is a vital necessity. Persons who have participated in Phase 3 report improved intergroup relationships and express appreciation of the team management concept, pointing out that it reverses the traditional procedure in which criticism flows from one level of management down to the next.

Organization Blueprint

Phase 4 calls for the Production of an Organization Blueprint. If Phases 1, 2 and 3 represent pruning the branches, Phase 4 gets at the *root structure.* A long-range blueprint is developed to ensure that the basic strategies of the organization are "right." The immediate goal is to set up a model that is both realistic and obtainable for an organization's system for the future. How is this done? The existing corporate entity is momentarily set aside while an ideal concept is drawn up representing how it would be organized and operated if it were truly effective. The optimal organization blueprint is produced as a result of a policy diagnosis based on study of a model organization culture. The blueprint is drawn up by the top team and moves down through lower levels. The outcome is organization-wide understanding of the blueprint for the future.

It can be expected that as a result of Phase 4, the top team will have set a direction of performance goals to be achieved. Individuals and work teams will have developed understanding and commitment to both general and specific goals to be achieved.

Blueprint Implementation

Phase 5 is Blueprint Implementation. That is, Phase 5 is designed for the carrying out of the organizational plan through activities that change the organization from what is "is" to what it "should be." A Phase 5 may spread over several years, but as a result there comes about the effective realization of the goals that have been set in Phase 4 and specific accomplishments, depending on concrete issues facing the organization. During Phase 5, the members who are responsible for the organization achieve agreement and commitment to courses of action that represent steps to implement the Phase 4 blueprint for the future.

Stabilization

Phase 6 is stabilization. It is for reinforcing and making habitual the new patterns of management achieved in Phases 1 through 5. Organization members identify tendencies to slip back into the older and less effective patterns of work and take corrective action. Phase 6 involves an overall critique of the state of the OD effort for the purpose of replanning for even greater effectiveness. It is not only to support and strengthen the changes achieved through earlier activities, but also to identify weaknesses and plan ways of eliminating them.

By the time Phase 6 is under way, the stabilization of new communication, control and problem-solving approaches should be evident. Moreover, there should be complete managerial confidence and competence in resisting the pressures to revert to old managerial habits.

As we see our business, government and educational institutions facing crisis after crisis, we realize the need for change becomes more imperative with each passing day. Behavioral science ideas and technology now provide a way through which need can become actuality.

"Organizations *can* change!" This issue is *will* they? Problems are inherent in every organization. What is needed is the will, determination and effort to solve them.

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Robert R. Blake and Jane S. Mouton are president and vice president, respectively, of Scientific Methods, Inc., Austin, Tex. Both have published more than 13 books and 500 articles on the grid aspects of sales, management and marriage.

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Library Management: Consideration and Structure

by Rita Sparks

Systematic studies and the development of tools for the evaluation of leadership dimensions of "Consideration" and "Structure," originally isolated by E.A. Fleishman in Ohio State University Leadership Studies, were applied in an experimental survey of an academic library. Staff perceptions of an administrator were compared with his self-evaluation to determine what, if any, discrepancies existed.

These two dimensions show promise as models for use by academic libraries on departmental, divisional, or top administrative levels in analyzing current management styles and utilizing the findings as a barometer of staff morale or as a diagnostic tool for effecting organizational improvement and/or change.

Literature searches on the topic of leadership affirm that leadership is one of the most researched and least understood variables of the management process. Definitions of the term itself vary considerably, but there is consensus that leadership means influence. Bernard Bass equates leadership with any positive-influence act with behavior required to direct a group, and with behavior-making differences among groups.[1] A similar definition of leadership is given by Jacobs: "An interaction between persons in which one presents information of a sort and in such a manner that the other becomes convinced that his outcomes will be improved if he behaves in the manner suggested or desired."[2] Thus the basis of leadership is meaningful interaction with subordinates, gaining their respect, and influencing or motivating their behavior.

Although various aspects of leadership have been studied by many disciplines, the practice of studying and evaluating library administrators is not an established one. Evaluating techniques for leadership performance do not appear significantly in library literature although initiating management training programs in order to improve the operation of libraries is currently a major challenge to the profession.

Analytic studies of leader behavior in organizations indicate that two dimensions can be used to describe how leaders vary in their attitudes toward motivation. These two dimensions are "Consideration" and "Structure," originally isolated by E.A Fleishman in the Ohio State University Leadership Studies which examine leadership ideology in terms of the interpersonal values of persons in leadership positions and the relationship as perceived by subordinates.[3]

These two dimensions of leader behavior were examined in this survey of the library department of a state university to determine those areas of variance in the leadership role between how the administrator sees his behavior and subordinate perceptions of the leader. Based on the responses to the questionnaire, scores for "Consideration" and "Structure" were determined and used to provide feedback to the administrator regarding employee attitudes, beliefs, and feelings about his leadership. This study was based on the hypotheses that barriers to effective communication exist in most organizations and that surveys are one means of providing feedback in guiding the operations of an organization and facilitating change.

It is recognized however that conducting a survey is not sufficient to initiate change. A great weakness in conducting surveys is the reluctance by many administrators to utilize the feedback; surveys filed in drawers are useless in bringing about organizational improvement. Likewise forwarding the results through hierarchical levels is of little benefit if there are no specific directives for their use. Mere readings of results may work in a negative way to reinforce employee biases; and when nothing happens as a result of the survey frustration increases.

For a survey to be effective, it should have follow-up procedures similar to those developed by Mann of the Survey Research Center in Ann Arbor, Michigan, where "organizational families" or hierarchical levels participate in discussions of survey results to complement the feedback process.[4] Discussion of relevant findings gives an objective, task-oriented look at problems that may have previously been overlooked or brushed aside. The

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emphasis in these discussions should center on facts, figures, and some possible solutions relating to the survey findings rather than personal bias.

Even if no action is taken in response to this survey, knowledge of results and problem areas may motivate an improvement in leadership performance.

The Survey

Two independent leadership dimensions, "Consideration" and "Structure," were measured by the administration of a modified version of the Fleishman questionnaire, consisting of forty-eight items (28 Consideration, 20 Structure).[5] The leader indicated how frequently he thought he performed each variable described by circling one of five alternative answers given after each question (i.e., always, often, occasionally, seldom, never).

The same questionnaire was administered to fifteen subordinates to compare staff perceptions of their supervisor's performance. Eleven of the fifteen questionnaires were returned. To insure complete anonymity, the forms were uncoded. Thus it cannot be determined if the four persons who chose not to participate were scattered randomly throughout the organization or represent a certain subgroup variable.

The two independent measures provided by the questionnaire are defined as follows:

> *Structure (S):* Reflects the extent to which an individual is likely to define and structure his own role and those of his subordinates toward goal attainment. A high score on this dimension characterizes individuals who play a more active role in directing group activities through planning, communicating information, scheduling, trying out new ideas, etc.
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> *Consideration (C):* Reflects the extent to which an individual is likely to have job relationships characterized by mutual trust, respect for subordinates' ideas, and consideration of their feelings. A high score is indicative of a climate of good rapport and two-way communication. A low score indicates the supervisor is likely to be more impersonal in his relations with group members.[6]

These questions are structured so that there are no "right" or "wrong" answers, because perceptions of the best way to lead a group vary with the organization and the situation. Also, because the two dimensions in the questionnaire are independent of each other (dimension correlation: r=-.01) the leader could be high on consideration yet low or high in the amount of structuring behavior, or vice versa.

The five alternatives to each item were weighted 1 to 5, and the total dimension scores were obtained by adding the weights corresponding to the alternatives marked for items in each dimension. Whether the high frequency alternatives (e.g., always) were weighted 1 or 5 depended on the item's orientation with respect to the total dimension continuum.[7] Since the theoretical range of scores for the S dimension with twenty items was 0-100 and the possible range of scores for the C dimension with twenty-eight items was 0-140, the scores were changed to percentages to facilitate comparisons on the same base.

Table 1 represents a summary of the leader's scores for responses to each question, the number of subordinates choosing each alternative answer, and the mean score of the subordinates' responses to each question.

Table 2 is a comparison of the scores indicated by the leader and the subordinates for each dimension.

Findings

Leadership studies by Fleishman and others have shown that it is imperative that both factors of "Structure" and "Consideration" be used in dealing with subordinates in an organization. Leadership behavior is multidimensional. These dimensions are finite in number and cannot all be precisely measured, analyzed, and properly prescribed for optimum effectiveness. The proper ratio of C and S depends on the situation in each library; no universal blueprint for organizational development exists in management circles.

One principal finding of this survey demonstrates that the leader in this organization employs both structure and consideration in dealing with his subordinates. This is essential for effective leadership. The optimum ratio for this library situation will be further discussed in the recommendations. The important factor is that both dimensions are evidenced by the leader and the subordinates, although their perceived thresholds vary.

In considering the "Structure" dimension, the replies from the subordinates show a close correlation with the leader's perception of himself. The leader's score for this dimension is 58 as compared with the subordinates' mean score of 50.67 with a range of 35 to 72.

Generally, the leader scored himself higher on most of the questions than the mean of the subordinates. It is interesting to note that, unlike many other leadership studies in which employees perceive their leader as more authoritarian than he thinks himself, these results indicate that the employees in this library see less structure and direction than does the leader. For example, while the leader indicated he "often" criticizes poor work (#11), only three employees agreed with that, one said "always", two "occasionally," four "seldom," and one "never."

Question 42 shows a marked difference in opinions. The leader answered that he occasionally decides in detail what shall be done and how it shall be done, but only one subordinate agreed, one thought he often did, while eight people perceived him as seldom or never making this decision. Only one person agreed that the leader occasionally encourages slow-working individuals to greater effort; eight believed he seldom does, and three said "never."

An item with an even higher variance is Question 38 regarding the leader stressing being ahead of competing work groups. The leader received a score of four for the "often" option while the average subordinate score was two, with six people scoring below the leader.

Another response that points to differences in opinion is Question 20 where the leader checked he "seldom" waits for his staff to push new ideas before he does. Only two subordinates agreed with the answer, five people said he "often" waits for his staff to push ideas, and four thought he "always" waits.

The findings draw attention to more variance in the "Consideration" dimension where the leader scores are considerably higher than those of the subordinates: 71 as against 53.1 with a range of 35 to 77. The greatest difference in perceived behavior concerns the question on rewards (#15). The leader stated he "often" sees that an individual is rewarded for a job well done. Nobody agreed with that. Seven subordinates felt he "seldom" rewards people and four were more negative, giving the "never" answer.

Another factor related to rewards is the expression of appreciation, which is measured in Question 4. One person

"Motivation of subordinates cannot be reduced to a simple formula; no litmus paper exists to measure the behavior of leaders or subordinates."

agreed with the leader that he "often" expresses appreciation when one does a good job. Two felt he "occasionally" did; two felt he "never" did; the majority (six) thought he "seldom" expressed such appreciation.

Answers to Question 31 indicate a possible problem area. The leader saw himself as often backing up his staff in their actions. No employee perceived the leader's behavior as such. Two felt occasional support, four seldom saw it, and four said he never backs up his staff. The question of leader support bears a close relationship to Question 12 regarding the leader standing up for his staff even though it makes him unpopular. Seven subordinates felt he "never" stands up for his staff and four said "seldom." The leader himself took the "occasionally" option.

Some other areas in which the subordinates perceive less employee-centered behavior by the leader deal with the importance of high morale, refusal to explain actions, acting without consulting, and ease of understanding the leader.

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Recommendations

"There is nothing more difficult to take in hand, more perilous to conduct or more uncertain in its success, than to take the lead in the introduction of a new order of things." Machiavelli's observation (*The Prince*) is still valid today. It is particularly difficult to offer recommendations regarding changes in leadership behavior when no clearly prescribed formula for it exists in management circles. Motivation of subordinates cannot be reduced to a simple formula; no litmus paper exists to measure the behavior of leaders or subordinates. Much theoretical work, however, supports the need for synergy in organizations and the concept of various functions optimizing one another so that the whole becomes more than the sum of the parts. This survey, which compares several subordinates' verdicts against the leader's self-evaluation, is an attempt to nudge the behavior in this organization into synergistic balance. It is suggested that there are means whereby the dichotomies in this department can be synergized and the differentiated viewpoints integrated to effect mutual job satisfaction.

One basic factor essential to optimal integration is bilateral communication—a factor necessary in both of the tested dimensions. Improvement in communications in this organization can increase structure as well as consideration. The survey shows that individuality is respected in this organization (#36) and the subordinates find the leader friendly and easy to approach (#43). Therefore communication should be somewhat easy to establish. However, he is also perceived as seldom or almost never easy to understand (#6) and frequently seen as refusing to explain his actions (#25).

This lack of effectiveness in communication can arise from false perceptions of the persons participating in the communication process. The leader should strive to be more explicit in his statements and not rely on employee interpretations of his actions through implications and innuendos.

The employees' feeling that appreciation is seldom expressed for a job well done (#4) may be caused by the fact that they are not communicating their performances to the leader. The leader may actually be expressing appreciation often in relation to the frequency of perceived good work, but he may be unaware of a person having done something commendable, or his standards might differ from the employee's standards of performance. An employee may think he is doing a good job and expect appreciation when in fact the leader may consider the same performance not in line with organization goals.

This again emphasizes the necessity of clearly communicating to the subordinates what the goals of the organization are, what standards of performance are expected, and what contingencies surround the allocation of rewards. If high performance and high morale are desired, people should be told what is expected of them and what the outcome of their performance will be.

Considerable empirical evidence exists regarding the benefits of this "preference-expectation" theory as examined by Robert House.[8] He states that on professional levels with unstructured tasks, goals are often nebulous; in such a situation, expectancy is reduced and people do not know what is required of them. The leader, therefore should concentrate on improving the expectancy—a recommendation that should be seriously considered in this organization.

The questions of leader support (#31) and standing up for subordinates (#12) can also be resolved and performance improved through better communication. The leader can clarify what action he expects of his staff and then be ready to back them up. Studies have shown that leader support can be as instrumental (if not more) as increased pay in obtaining high performance from employees. Consequently, along with expectancy, the instrumentality variables should be outlined more explicitly in this organization (i.e. how performance will relate to outcomes of supervisory support, promotion possibilities, and pay).

In a monetary sense, there may be roadblocks to solving questions of pay or rewards (#15), where subordinates' answers show low correlation to those of the leader. Pay in a state university is not under the control of a department leader; it depends more on university contracts and state allocations. This should not present problems if other rewards, such as increased responsibility and approval are given. Monetary rewards, according to Herzberg are not effective long-run motivators. He calls them "hygienic" or maintenance factors.[9]

Although a clear knowledge of what is expected of a subordinate should improve communication and clear up misconceptions of the leader's behavior in the consideration dimension, initiating more structure has an even greater validity in this organization.

After a period of several leadership changes, this organization indicates a need for greater stability with emphasis on the use of structure rather than increased consideration. The staff must be able to rely on the administrator for a clear and stable set of actions consistent with organizational protocol.

It could be argued that in a university setting, a rule by democracy should prevail. Nevertheless, both democratic and autocratic leaders must establish goals and guide subordinates. Care should be taken not to confuse initiating structure with power and autocracy. Whereas power and autocracy move people without self-motivation, structure provides direction without suppressing freedom. It is suggested therefore that in this type of organization a directive leader (more structure) is better than a permissive (considerate) one. Professional jobs are in themselves challenging, and professionals are familiar with operating procedures. They simply need a game plan or direction.

Summary of Fiedler Investigations of Leadership[10]

Condition	Leader-member relations	Task structure	Position power	Leadership style correlating with effectiveness
1	Good	Structured	Strong	Directive
2	Good	Structured	Weak	Directive
3	Good	Unstructured	Strong	Directive
4	Good	Unstructured	Weak	Permissive
5	Moderately poor	Structured	Strong	Permissive
6	Moderately poor	Structured	Weak	No Data
7	Moderately poor	Unstructured	Strong	No Relationship found
8	Moderately poor	Unstructured	Weak	Directive

This need for more direction is supported by Fiedler's contingency models. From research involving numerous studies, he specifies the type of leadership style that he believes appropriate in different situations. According to Fiedler's summary table, the organization in this survey satisfies the #8 contingency plan with moderately poor leader-member relations (lack of perceived support, appreciation, and effective communication); unstructured tasks; weak position power (authority to grant awards and punishments, support leader receives from his own supervisors). For this type of contingency Fiedler indicates a directive leader is essential for effectiveness.

Without more structure and decision the leader in this organization may eventually fall into the trap of becoming a "Compromise Manager" as described by Reddin: Over-using participation, yielding, ambivalent, convinced that optimum output is but a dream, and thinking that any plan is a series of compromises.[11]

Perhaps this need for direction and structure is best summed up by two unsolicited comments which were jotted down on two of the returned questionnaires: "He never communicates demands" (for question #7), and "We don't know what the job or our own limits are!" (for question #30).

Summary Findings

Leadership behavior is multidimensional. These dimensions are finite in number and cannot all be precisely measured, analyzed, and properly prescribed for optimum effectiveness. Likewise, the perceptions and motivations of subordinates cannot be condensed into a simple formula. This survey, however, provides some insights for dealing with behavior in the selected group:

1) Two-way communication must be improved to clear up misconceptions.

2) Subordinates need an awareness of what is expected of them in terms of performance and how it is instrumental to rewards.

3) Directive support through more initiated structure has positive correlation to performance in uncertain environments.

4) Consideration is perceived by the subordinates, but increasing this dimension is not necessarily beneficial. "Psychological distance" is a necessary factor between the leader and the subordinates.

This Fleishman technique can easily be adapted to review and analyze management in any library on a departmental, divisional, or top administrative level. This can be a particularly useful tool in smaller libraries in which the Management Review and Analysis Program (MRAP)—designed, tested, and operated by the Association of Research Libraries' Office of University Library Management Studies—is not feasible, because the MRAP is geared to major research libraries demanding large task forces. Any library can utilize the findings of the Fleishman survey in assessing employee perceptions of management practices and be guided toward constructive organizational change through an awareness of possible problem areas in leadership.

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Table 1. Weighted Scores From Leadership Questionnaire

Question	Leader Score					Number of Subordinates Choosing the Various Alternatives*					
	Always	Often	Occas.	Seldom	Never	Always	Often	Occas.	Seldom	Never	Avg. Score
C 1			3				5	2	3	1	3.0
C 2			3					2	3	6	1.6
S 3		4				2	4	1	2	2	3.2
C 4		4					1	2	6	2	2.2
S 5			3				2	2	5	1	2.5
C 6			3				1		5	5	1.7
C 7			3			2	2	3	3	1	2.9
S 8				2			2	1	2	5	2.0
C 9			3					1	4	5	1.6
C 10				4			2	2	4	3	3.7
S 11		4				1	3	2	4	1	2.9
C 12			3						4	7	1.4
C 13				4		1	5	1	4		2.7
S 14			3			2		5	3	1	2.9
C 15		4							7	4	1.6
C 16				4			3	4	4		3.0
S 17			3					1	7	3	1.8
C 18				4		1	1	4		4	3.2
C 19				4		3	2	1	2	3	3.3
S 20				4		4	5		2		2.0
C 21			3			1	1	4	1	3	2.6
C 22				4		1	6	2	2		2.5
S 23		4				1	6	2	1		3.7
C 24				4			1	3	4	1	3.6
C 25			3			5	5				1.5
S 26			3			3	3	3	2		3.6
C 27				4		1	5	4	1		2.5
S 28				2			2	1	6	2	2.3
C 29			3					1	4	6	1.5
S 30				2		1		2	6	1	2.4
C 31		4						2	4	4*	1.8
S 32			3					3	7	1	2.2
C 33			3			2	5	2	2		2.4
S 34			3			2	3	1	5		3.2
C 35		4				2	1	2	3	3	2.6
S 36		2					6	2	2	1	2.8
C 37		4					4	2	4	1	2.8
S 38		4					1	1	3	3	2.0
C 39			3				1	4	6		2.5
S 40				2			3	3	4	1	2.7
C 41		4				2	3	3	1	3	3.3
S 42			3				1	1	4	4	1.9
C 43		4				3	5	2		1	3.8
S 44				2			2		3	6	1.8
C 45		4					1	3	7		2.4
S 46			3				1	2	4	1	2.4
C 47			3					2	8		2.2
S 48				2			2	3	1	5	2.2

* *This number does not always add up to a total of 11 as some subordinates gave no answer to certain questions*

Table 2

Respondent	Dimension	Score	Respondent	Dimension	Mean Score*	Range
Leader	Structure	58	Subordinate	Structure	50.67	35 to 72
Leader	Consideration	71	Subordinate	Consideration	53.1	35 to 77

* *For the sake of uniformity in making comparisons, the leader's score (percentage) was obtained by dividing the score by the total possible points available (100 for structure, 140 for consideration). The subordinates' mean score was figured by dividing the total percentage score for each dimension by the number of respondents (11).*

Questionnaire

This questionnaire is to be used to describe the supervisor in your organization. Your opinions of his behavior are indicated by placing a circle around one answer for each question. All responses will be held absolutely confidential though feedback of a composite of the results may be released at the discretion of the administrator.

[*Ed. Note: After each statement in the original questionnaire, a line appears with the following five possible responses:*
always often occasionally seldom never
One of these is to be circled by the respondent.]

1. He refuses to give in when people disagree with him.
2. He does personal favors for the individuals under him.
3. He encourages overtime work.
4. He expresses appreciation when one of us does a good job.
5. He tries out his new ideas.
6. He is easy to understand.
7. He demands more than we can do.
8. He rules with an iron hand.
9. He helps his staff with their personal problems.
10. He criticizes his staff in front of others.
11. He criticizes poor work.
12. He stands up for his staff even though it makes him unpopular.
13. He insists that everything be done his way.
14. He talks about how much should be done.
15. He sees that an individual is rewarded for a job well done.
16. He rejects suggestions for changes.
17. He encourages slow-working individuals to greater effort.
18. He changes the duties of people under him without first talking it over with them.
19. He treats people under him without considering their feelings.
20. He waits for his staff to push new ideas before he does.
21. He tries to keep the individuals under him in good standing with those in higher authority.
22. He resists changes in ways of doing things.
23. He assigns people under him to particular tasks.
24. He "rides" the individual who makes mistakes.
25. He refuses to explain his actions.
26. He asks for sacrifices from his staff for the good of the entire organization.
27. He acts without consulting his staff first.
28. He insists that his staff follow standard ways of doing things in every detail.
29. He stresses the importance of high morale among those under him.
30. He sees to it that people under him are working up to their limits.
31. He backs up his staff in their actions.
32. He offers new approaches to problems.
33. He is slow to accept new ideas.
34. He insists that he be informed on decisions made by people under him.
35. He treats all his staff as equal.
36. He lets others do their work the way they think best.
37. He criticizes a specific act rather than a particular individual.
38. He stresses being ahead of competing work groups.
39. He is willing to make changes.
40. He "needles" individuals under him for greater effort.
41. He makes those under him feel at ease when talking with him.
42. He decides in detail what shall be done and how it shall be done.
43. He is friendly and can be easily approached.
44. He emphasizes meeting of deadlines.
45. He puts suggestions that are made by individuals under him into operation.
46. He asks individuals who have slow groups to get more out of their groups.
47. He gets the approval of his staff on important matters before going ahead.
48. He emphasizes the quantity of work.

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LEADERSHIP AND ORGANIZATIONAL EXCITEMENT

David E. Berlew

Introduction

In the last several years, an increasing number of individuals—often new graduates and professionals—have rejected secure positions in apparently well-managed organizations in favor of working alone or joining up with a few friends in a new organization. Usually they do not leave in protest, but in search of "something more." The nature of this "something more" is the subject of this paper.

Many executives have blamed this disenchantment with established organizations on changes in Western society which have made an increasing number of people unsuited for organizational life. They often express the view that changes in child-rearing practices and the breakdown of discipline in the family and in our schools has produced a generation which cannot or will not exercise the self-discipline and acceptance of legitimate authority required for bureaucratic organizations as we know them to function.

Because it has been so acceptable to fault society, the leadership of most organizations has felt little need to look inward for the source of the problem and to analyze their own and their organization's failure to attract and hold some of the best-trained people our society produces.

Those organizations which have tried to change to keep pace with society have often been frustrated. In analyzing our failure to stem the tide of increasing alienation in the workplace, Walton (1972) describes "a parade of organization development, personnel, and labor relations programs that promised to revitalize organizations," such as job enrichment, participative decision making, management by objectives, sensitivity training or encounter groups, and productivity bargaining. He argues that while each application is often based on a correct diagnosis, it is only a partial remedy, and therefore the organizational system soon returns to an earlier equilibrium. His prescription is a systemic approach leading to comprehensive organization design or redesign.

Whether we are concerned with organizations which have viewed the problem as outside of their control or those which have been frustrated in their attempts to change, one factor which has not been adequately explored and understood is that of effective organization leadership. Only an organization with strong leadership will look within itself for causes of problems which can be blamed easily on outside forces. Exceptional leadership is required to plan and initiate significant change in organizations, whether it is one of Walton's partial remedies or comprehensive organization redesign. Short-term benefits from change projects often result from leadership behavior which excites members of an organization about the *potential* for change rather than from actual change introduced.

Current Leadership Models

Almost without exception, theories of managerial leadership currently in vogue postulate two major dimensions of leadership behavior (House, 1971, Korman, 1966). One dimension concerns the manager's or leader's efforts to accomplish organizational tasks. Various writers have given this dimension different names, including task or instrumental leadership behavior, job-centered leadership, initiating structure and concern for production. The second dimension is concerned with the leader's relations with his subordinates; it has been labelled social-emotional leadership behavior, consideration, concern for people, and employee-centered leadership. Measures of the effects of leadership also usually fall into two categories: indices of productivity and of worker satisfaction. A leader or manager who is good at organizing to get work done, and who relates well to his subordinates, should have a highly productive group and satisfied workers.

There is nothing wrong with two-factor models of managerial leadership as far as they go, but they are incomplete. They grew out of a period in history when the goal was to combine the task efficiency associated with scientific management with the respect for human dignity emphasized by the human relations movement. They did not anticipate a point in time when people would not be fulfilled even when they were treated with respect, were productive, and derived achievement satisfaction from their jobs.

As a result, two-factor theories of managerial leadership tell us more about management than about leadership. They deal with relationships between man and his work, and between men and other men, but they do not tell us why some organizations are excited or "turned-on" and others are not. They do not help us understand that quality of leadership which can ". . . lift people out of their petty pre-occupations . . . and unify them in pursuit of objectives worthy of their best efforts" (Gardner, 1965).

Leadership and Emotion in Organizations

In an effort to help fill that void, the outline of a model relating types of leadership to the emotional tone in organizations is presented in Figure 1. Stages 1 and 2 of the model are derived from familiar theories of work motivation (Herzberg, 1966; Maslow, 1968; McGregor, 1967) and the two-factor models of leadership discussed earlier. Angry or resentful workers (Stage 1) are primarily concerned with satisfying basic needs for food, shelter, security, safety, and respect as human beings. Organizations in Stage 1 try to improve their situations by eliminating "dissatisfiers" through improved working conditions, compensation and fringe benefits, and by providing fair or "decent" supervision. The type of leadership associated with a change from an angry or resentful emotional tone to one of neutrality, or from Stage 1 to Stage 2, has been

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Prepared specifically for this volume.

labelled *custodial*. These leaders are neutral, lacking either strong positive or negative feelings about their work or the organization. In the absence of "dissatisfiers," they tend to become increasingly concerned with group membership or "belonging" and opportunities to do inherently satisfying work and to receive recognition. In order to increase employee satisfaction organizations at Stage 2 introduce improvements such as job enrichment, job enlargement, job rotation, participative management, and effective (as opposed to decent) supervision. Changes are oriented toward providing work that is less routine and more interesting or challenging, building cohesive work teams, and giving employees more say in decisions that directly affect them. The type of leadership associated with this movement from neutral to satisfied workers, or from Stage 2 to Stage 3, has been labelled *managerial*.

Most of the advances in organization theory and management practice in the last few decades have related to Stage 2: defining and controlling the elements of supervision and the organizational environment which result in high productivity with high satisfaction. While these advances have been substantial, and have led, in most cases, to healthier, more effective organizations, they have not prevented the increasing alienation of professional employees.

The addition of Stage 3 to the model to extend the emotional tone continuum to include *organizational excitement* is an attempt to deal with this phenomenon of the 1970's—the increasing number of professionals and new graduates who are rejecting secure positions in established organizations. The model suggests that for this small but growing element of the population, the satisfaction of needs for membership, achievement, and recognition is no longer enough. The meaning they seek has less to do with the specific tasks they perform as individuals than the impact of their individual and collective efforts—channelled through the organization—on their environment. The feelings of potency which accompany "shaping" rather than being shaped or giving up (and dropping out) are a source of excitement. So, too, are the feelings which stem from commitment to an organization which has a value-related mission and thus takes on some of the characteristics of a cause or a movement. At the extreme, this can lead to total involvement or total *identification*—the breaking down of boundaries between the "self" and the organization so that the "individual becomes the organization" and the "organization becomes the individual."

Stage 3 Leadership

Although Stage 3 leadership must involve elements of both custodial and managerial leadership, the dominant mode is charismatic leadership. The word "charisma" has been used in many ways with many meanings. Here we will define it in terms of three different types or classes of leadership behavior which provide meaning to work and generate organizational excitement. These are:

— the development of a "common vision" for the organization related to values shared by the organization's members,

— the discovery or creation of value-related opportunities and activities within the framework of the mission and goals of the organization, and

— making organization members feel stronger and more in control of their own destinies, both individually and collectively.

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FIGURE 1

Organizational Emotions and Modes of Leadership

		Stage 1		Stage 2		Stage 3	
EMOTIONAL TONE:	Anger or Resentment		Neutrality		Satisfaction		Excitement
LEADERSHIP MODE:		CUSTODIAL		MANAGERIAL		CHARISMATIC	
FOCAL NEEDS OR VALUES:		Food Shelter Security Fair treatment Human dignity		Membership Achievement Recognition		Meaningful work Self-reliance Community Excellence Service Social Responsibility	
FOCAL CHANGES OR IMPROVEMENTS:		Working conditions Compensation Fringe benefits Equal opportunity Decent supervision Grievance procedures		Job enrichment Job enlargement Job rotation Participative management Management by objectives Effective supervision		Common vision Value-related opportunities and activities Supervision which strengthens subordinates	

Developing a Common Vision

The first requirement for Stage 3 or charismatic leadership is a common or shared vision of what the future *could be*. To provide meaning and generate excitement, such a common vision must reflect goals or a future state of affairs that is valued by the organization's members and thus important to them to bring about.

The notion that men do not live by bread alone has been recognized for centuries by religious and political leaders. All inspirational speeches or writings have the common element of some vision or dream of a better existence which will inspire or excite those who share the author's values. This basic wisdom too often has been ignored by managers.

A vision, no matter how well articulated, will not excite or provide meaning for individuals whose values are different from those implied by the vision. Thus, the corporate executive who dreams only of higher return on investment and earnings per share may find his vision of the future rejected and even resented by members of his organization. Indeed, he may even find his vision of a profitable corporate future questioned by stockholders concerned with the social responsibility of corporations. Progressive military leaders may articulate a vision or mission congruent with the needs and values of the young people they are trying to attract to an all volunteer service, only to discover that the same vision conflicts with the values of their senior officers.

An important learning from group theory and research is that informal groups tend to select as leader the individual who is most representative of the group's needs and values. Thus his hopes and aspirations, and the goals toward which he will lead the group, are automatically shared by the group's members.

One problem for heads of complex organizations is that if they are to function as leaders (as opposed to custodians or managers) they must represent and articulate the hopes and goals of many different groups, the young and the old, the unskilled and the professional, the employee and the stockholder, the minority and the majority, union and management. Only the exceptional leader can instinctively identify and articulate the common vision relevant to such diverse groups. But to fail to provide some kind of vision of the future, particularly for employees who demand meaning and excitement in their work, is to make the fatal assumption that man can and will live by bread alone.

There are dangers as well as advantages to a common vision. If top management does not sincerely believe in the desirability of the vision they articulate, they are involved in an attempt to manipulate which will probably backfire. Another danger might be called the "Camelot phenomenon": the articulation of a shared vision that is both meaningful and exciting, but so unrealistic that people must inevitably be disillusioned and disappointed. Whether the responsibility in such cases lies with the seducer or the seduced is difficult to say, but the end result is a step backward into cynicism.

Finally, the effectiveness of the common vision depends upon the leader's ability to "walk the talk": to behave in ways both small and large that are consistent with the values and goals he is articulating. In this regard, my experience in the Peace Corps taught me that the quickest way to destroy or erode the power of a common vision is for the leader to allow himself to be sidetracked into bargaining over details instead of concentrating all of his attention on identifying, tracking, and talking to the value issue involved. For example, at

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a meeting where Volunteers are reacting negatively to a proposed reduction in their living allowance, the Peace Corps Director or leader cannot afford to get involved in a discussion of whether or not female Volunteers will be able to afford pantyhose with their reduced allowance. The role of the leader is to keep alive the common vision which attracted Volunteers to the Peace Corps in the first place: in this case, the idea of a group of Americans whose help will be more readily accepted if they live at about the same standard as their local coworkers.

Value-Related Opportunities and Activities

It is a mistake to assume that individuals who desert or reject established organizations are basically loners. In fact, many start or join new organizations, often at considerable personal sacrifice in terms of income, security, and working conditions. It is revealing to analyze these "new" organizations for sources of meaning or excitement which may be lacking in more mature organizations. A list of opportunities present in many of the younger organizations in our society are presented in Figure 2, along with values related to those opportunities.

FIGURE 2

Sources of Meaning in Organizations:
Opportunities and Related Values

Type of Opportunity	*Related Need or Value*
1. A chance to be tested; to make it on one's own	Self-reliance Self-actualization
2. A social experiment, to combine work, family, and play in some new way	Community Integration of life
3. A chance to do something *well*—e.g., return to real craftsmanship; to be really creative	Excellence Unique accomplishment
4. A chance to do something *good*—e.g., run an honest, no rip-off business, or a youth counselling center	Consideration Service
5. A chance to change the way things are—e.g., from Republican to Democrat or Socialist, from war to peace, from unjust to just.	Activism Social responsibility Citizenship

A Chance To Be Tested

Many of us go through life wondering what we could accomplish if given the opportunity. Our Walter Mitty fantasies place us in situations of extreme challenge and we come through gloriously. Few of us, however, have an opportunity to test the reality of our fantasies, as society increasingly protects us from getting in over our heads where we might fail and thus hurt the organization or ourselves. This is especially true of corporations where managers are moved along slowly, and only after they have had sufficient training and experience to practically insure that they will not have too much difficulty with their next assignment.

As a Peace Corps Country Director in the mid-sixties, I was struck by the necessity of having to place many Volunteers without adequate training or experience in extremely difficult situations, and the readiness—even eagerness—of most Volunteers to be tested in this way. Some Volunteers rose to the challenge in remarkable ways, others held their own, and some could not handle the stress. Volunteers who were severely tested and succeeded were spoiled for the lock-step progression from challenge to slightly more difficult challenge which most established organizations favor to protect both themselves and the individual from failure. The same thing happens in wars and other emergency situations where planned development and promotion systems break down.

The point is that many (not all) people want an opportunity to be tested by an extraordinary challenge, and such opportunities rarely exist in established organizations. As a result, some who are most able and most confident leave the shelter of the established organization to measure themselves against a value of independence and self-reliance.

Social Experimentation

A great deal has been written about the increasing superficiality of personal relationships in our society and the resulting loneliness and alienation. Organizations have responded with efforts to build cohesive work teams and to provide individuals doing routine, independent work with opportunities to talk with coworkers on the job. These gestures have not begun to meet the needs of persons who have been influenced by the counter-culture's emphasis on authentic relationships as opposed to role-regulated relationships, and the need to reduce social fragmentation by carrying out more of life's functions—working, child-rearing, playing, loving—with the same group of people.

Established organizations do not provide these kinds of opportunities. Many prohibit husbands and wives from working together. Child-care centers, if they exist, are separate from the parents' workplace, and the workplace is geographically and psychologically separated from the home. As a result, individuals who desire more integrated lives often leave established organizations and form new organizations, such as businesses in which wives and children can play a role and professional firms whose members live as well as work together.

A Chance to Do Something Well

Established organizations fight a continual battle between controlling costs and maintaining standards of excellence, and standards are usually compromised. This is not cynicism: A group of skilled metal workers, machinists and mechanics can nearly always produce a better automobile than General Motors if cost is no object. The opportunity to seek true excellence, to produce the very best of something, is a strong attraction, even though the market may be extremely limited and the economic viability of the venture questionable. Individuals frustrated by the need to cut corners in established organizations find the alternative of a new organization committed to excellence an attractive one, and they will work long hours at low pay to make it financially viable.

A Chance to Do Good

Still others desert established organizations in the belief that they are compromising standards of honesty and consideration in their struggle to survive in "the capitalistic jungle." They form organizations to do *good*: to provide honest, no rip-off services or products, or services which they believe a "good" community should have such as free schools, legal, medical, and counselling services for the deprived, or low-income housing.

A Chance to Change the Way Things Are

Finally, many thoughtful individuals leave established organizations because they view them as too interwoven with or dependent upon the system to be an effective force for change. So they form new organizations as vehicles for bringing about change, whether it is to increase our appreciation of art, to eliminate discrimination, or to protect the environment.

The critical difference between these new organizations and established organizations is that the newer ones provide opportunities and activities closely related to the values of their members and also within the framework of the mission and goals of the organization. This is true even when the organization is as intent on making money as any established corporation (as they often are), and when they resemble a modern version of a nineteenth-century sweatshop (as they often do). Members of these organizations are not against profit making *per se* or hard work, or putting the organization before the individual. But there must be a reason for doing these things; they are not ends in themselves. The reason comes from a common vision of what they are trying to create together, as well as opportunities to behave in a value-congruent manner. These factors justify and even make desirable those characteristics of organizations which otherwise would be rejected as unnecessary or exploitative.

Few, if any, progressive executives will find the types of opportunities and values noted above distasteful or undesirable. Many, however, will conclude that it is simply unrealistic to expect to find such opportunities in a large corporation or government agency under pressure from stockholders or the voting public to maximize profits or minimize expenditures.

However, such opportunities *do* exist in large, established organizations, and where they do not, they can often be created. For example, established organizations do not have to be tied to a step-by-careful-step advancement ladder. AT&T, for example, has experimented with a system whereby potential new hires for management positions are offered exceptionally challenging year-long assignments, and are told that depending on their performance, they will either leapfrog ahead or be asked to leave the company. It provides confident individuals with a series of opportunities to test themselves. If implemented successfully, it benefits the organization by attracting and developing self-reliant managers while quickly weeding out security seekers and poor performers.

While it takes managerial leadership to introduce such changes, it takes charismatic leadership to recognize the value relevance of such a program and to integrate it with the organization's mission in such a way that it creates and sustains excitement. Too often such programs go unrecognized or unexploited as sources of increased organizational excitement simply because of a limited conception of leadership.

There are many other things that established organizations are doing or could do which qualify the right type of leadership. Our organizations and institutions have, for the most part, been quite uncreative about countering or controlling the increasing fragmentation of work and family life, and the many problems which result. I know from my own experience the extreme differences in the quality of my relationships with my wife and children now that I work at home a few days a week compared to when I spent fifty to eighty hours at the office or out of town and came home tired and irritable, often with homework. I doubt if I am much different from most other professionals in this regard. Why not actively recruit husbands and wives, as work teams when possible, and with child-care facilities nearby? Or, where possible, encourage employees to work at home on individual projects when they may have fewer interruptions than at the office?

Many organizations have a manifest commitment to excellence in their products and services, and to carrying out their corporate responsibilities toward the community. Occasionally they are in a position to spearhead social change. Too frequently, however, the value-relevant message seems directed toward customers or stockholders and only secondarily toward organization members. When it is directed toward members, it usually comes from a staff department such as corporate relations or the house organ rather than directly from the senior-line officers. This is public relations, not leadership, and whereas charisma might substitute for public relations, public relations, no matter how good, cannot substitute for charisma.

Making Others Feel Stronger

The effective Stage 3 leader must lead in such a way as to make members of his organization feel stronger rather than weaker. To achieve the organization's goals as well as to meet the needs of his more confident and able employees, his leadership must encourage or enable employees to be Origins rather than Pawns.

Richard deCharms (1968; 1969) has described Origins and Pawns in the following terms:

> An Origin is a person who feels that he is director of his life. He feels that what he is doing is the result of his own free choice; he is doing it because he wants to do it, and the consequences of his activity will be valuable to him. He thinks carefully about what he wants in this world, now and in the future, and chooses the most important goals ruling out those that are for him too easy or too risky . . . he is genuinely self-confident because he has determined how to reach his goals through his own efforts . . . he is aware of his abilities and limitations. In short, an Origin is master of his own fate.
>
> A Pawn is a person who feels that someone, or something else, is in control of his fate. He feels that what he is doing has been imposed on him by others. He is doing it because he is forced to, and the consequences of his activity will not be a source of pride to him. Since he feels that external factors determine his fate, the Pawn does not consider carefully his goals in life, nor does he concern himself about what he himself can do to further his cause. Rather he hopes for Lady Luck to smile on him.

Clearly, there may only be a few people in the real world of human beings who are *always* guiding their own fate, checking their own skill, and choosing their own goals, but some people act and feel like Origins more of the time than do other people. Similarly, there are only a few people who *always* feel pushed around like Pawns.

(30) Some individuals—parents, teachers, managers—have the ability to relate on a one-on-one basis in ways that make another person feel and behave more like an Origin and less like a Pawn. Certain types of leaders can apparently affect entire groups of people the same way.

In an experiment conducted at Harvard University (Winter, 1967), a group of business-school students were shown a film of John F. Kennedy delivering his inaugural address. After viewing the film, samples of the students' thoughts or fantasies were collected by asking them to write short imaginative stories to a series of somewhat ambiguous pictures. The thoughts of students exposed to the Kennedy film reflected more concern with having an impact on others and being able to influence their future and their environment than the thought samples of students exposed to a neutral control film. J.F.K. made them feel like Origins.

Replicating this experiment in a number of leadership training sessions, I have found the same thing: Exposure to a certain type of leader—such as John F. Kennedy—leaves people feeling stronger, more confident of being able to determine their own destinies and have an impact on the world. It was this type of reaction to J.F.K. that attracted many young people to the Peace Corps to "change the world" during the early and mid-sixties.

It is difficult to assess precisely what it was about Kennedy's leadership that had this strengthening effect. We do know that he articulated a vision of what should be which struck a resonant chord, particularly in young people and citizens of developing nations. He also projected extremely high expectations of what young people could do to remake their country, if not the world, in terms of their own values.

Although most organization leaders cannot count on such dramatic moments as a presidential inauguration, or perhaps on their oratorical powers, they nonetheless do have a powerful effect on whether those around them feel and behave like Origins or Pawns. A number of factors determine the effect they have on others in this critical area.

Beliefs about Human Nature

One important factor is the manager's beliefs or assumptions about human nature. If he believes that the average human being has an inherent dislike of work and will avoid it if he can, that most people must be coerced or controlled to get them to put forth effort toward the achievement of organizational objectives, and that he wishes to avoid responsibility, has relatively little ambition and wants security above all, then the manager will organize and manage people as if they were Pawns, and they will tend to behave as Pawns. If, on the other hand, the manager believes that the expenditure of physical and mental effort in work is as natural as play or rest, that individuals will exercise self-direction and self-control in the service of objectives to which they are committed, and that commitment to objectives is a function of the rewards associated with their achievement, including psychological rewards, then he will organize and manage people in quite a different way, with the result that they will tend to behave more like Origins than like Pawns (McGregor, 1960).

High Expectations

Another important factor is the expectations a manager has about the performance of his subordinates. To some extent, all of us are what others expect us to be, particularly if the others in question are people we respect or love. A dramatic demonstration of this phenomenon is the strong positive relationship between a teacher's expectations of how well a student will do and the student's actual performance, a relationship which persists even when the teacher's positive expectations are based on invalid information (Rosenthal and Jacobson, 1968). A second study, done in a corporate setting, demonstrated that new managers who were challenged by their initial assignments were better performers after five years than new managers who were initially assigned to relatively unchallenging tasks, despite the fact that the potential of the two groups was about the same (Berlew and Hall, 1966).

Reward versus Punishment

Some managers tend to focus their attention on mistakes: to intervene when there are problems, and to remain uninvolved when things are going well. Other managers look for opportunities to reward good performance. An overbalance in the direction of punishing mistakes as opposed to rewarding excellence lowers self-confidence and is relatively ineffective in improving performance. Rewarding examples of effective action, however, both increases self-confidence and improves performance.

Encouraging Collaboration

Americans have a tendency to compete when the situation does not demand it, and even sometimes when competition is self-defeating (as when individuals or units within the same organization compete). Diagnosing a situation as win-lose, and competing, insures that there are losers; and losing is a weakening process. If a situation is, *in fact*, win-lose in the sense that the more reward one party gets the less the other gets, competition and the use of competitive strategies is appropriate. This is usually the situation that exists between athletic teams or different companies operating in the same market. Diagnosing a situation as win-win and collaborating is a strengthening process because it allows both parties to win. A situation is *in fact*, win-win when both parties may win, or one can win only if the other succeeds, as is usually the case *within* a company or a team.

The leader who is effective in making people feel stronger recognizes collaborative opportunities where they exist and does not allow them to be misdiagnosed as competitive. When he identifies instances of unnecessary competition within his organization, he uses his influence to change the reward system to induce collaborative rather than competitive behavior. If confronted with a competitive situation which he cannot or does not want to alter, however, he does not hesitate to use competitive strategies.

Helping Only When Asked

It is extremely difficult to help someone without making them feel weaker, since the act of helping makes evident the fact that you are more knowledgeable, powerful, wiser, or richer than the person you are trying to help. Those familiar with this dynamic are not surprised that some of the nations that the U.S. has most "helped" through our foreign aid resent us the greatest, particularly if we have rubbed their nose in their dependence by placing plaques on all the buildings we have helped them build, the vehicles we have provided, and the public works projects we have sponsored.

Yet the fact remains that there are real differences between individuals and groups in an organization, and help-giving is a real requirement. The effective Stage 3 leader gives his subordinates as much control over the type and amount of help they want as he can without taking untenable risks. He makes his help readily available to those who might come looking for it, and he gives it in such a way as to minimize their dependence upon him. Perhaps most important, he is sensitive to situations where he himself can use help and he asks for it, knowing that giving help will strengthen the other person and make him better able to receive help.

Creating Success Experiences

A leader can make others feel stronger, more like Origins, by attempting to design situations where people can succeed, and where they can feel responsible and receive full credit for their success. People, whether as individuals or organizations, come to believe in their ability to control their destiny only as they accumulate successful experiences in making future events occur—in setting and reaching goals. The leader's role is to help individuals and units within his organization accumulate such experiences.

When an organization, through its leadership, can create an environment which has a strengthening effect on its members, it leads to the belief that, collectively, through the organization, they can determine or change the course of events. This, in turn, generates organizational excitement. It also becomes an *organization* which has all the characteristics of an Origin.

Some Unanswered Questions

In this paper, I have tried to analyze one aspect of the problem of alienation in the workplace: the increasing attrition of professionals and new graduates from established organizations. I have tried to suggest the nature and source of the meaning and excitement they are seeking in their work, and the type of organizational leadership required to meet their needs. However, a number of questions have been left unasked which must be explored before any conclusions can be drawn.

One such question has to do with the relationship between organizational excitement and productivity. We know there are many productive organizations—some of our major corporations, for example—which cannot be called excited or "turned-on." We have also seen excited organizations expending tremendous amounts of energy accomplishing very little. In the case of excited but unproductive organizations, it is clear that they are overbalanced in the direction of Stage 3 leadership and need effective *custodial* and *managerial leadership* to get organized and production-oriented rather than solely impact-oriented. The case of efficient and productive organizations that are not excited is more complex. Would General Motors or ITT be better off if they could create a higher level of organizational excitement? Would they attract or hold better people, or are they better off without those who would be attracted by the change? Are such corporations headed for problems which can only be dealt with by an emphasis on Stage 3 leadership, or have we overstated the magnitude of the social change that is taking place?

A second question concerns the relevance of the model to different types of organizations. There is little question of the relevance of charismatic leadership and organizational excitement to such as the Peace Corps, the United Nations, religious organizations, political groups, community action organizations, unions, and the military. The same is true of start ups where new industrial or business organizations are competing against heavy odds to carve out a piece of the market. What is not so clear is whether it is any less relevant to large, established corporations and government bureaucracies. Quite possibly, it is precisely the element which is missing from some government agencies, and one of the key elements which give one great corporation the edge over another.

While more questions have been raised than answered, there should be no confusion about one point. Just as man cannot live by bread alone, neither can he live by spirit alone. Organizations must have elements of custodial and managerial leadership to achieve the necessary level of efficiency to survive. It is not proposed that Stage 3 or charismatic leadership increases efficiency; indeed, it may reduce the orderly, professional, totally rational approach to work which managerial leadership tries to foster. However, it does affect motivation and commitment, and organizations will face heavy challenges in these areas in the coming decade.

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Richard C. Grote

Implementing Job Enrichment

Job enrichment is a strategy for increasing motivation—its effectiveness being demonstrated by a growing number of successful projects which have produced significant increases in job satisfaction and productivity. For the organization or manager facing a motivation problem, the strategy of enriching jobs is proving to be an effective solution.

The strategy results from the work of Frederick Herzberg and his "motivation-hygiene theory."[1] According to Herzberg, satisfaction with a job and dissatisfaction are not the extremes of a single scale; rather, there are two scales, one running from "satisfaction" to "no satisfaction," the other from "dissatisfaction" to "no dissatisfaction." A change which reduces an employee's dissatisfaction with a job, therefore, will not necessarily increase his *satisfaction.* (Herzberg's work has, however, been criticized on theoretical grounds, and several studies have shown that job enrichment does not necessarily produce job satisfaction and increased productivity.[2])

The elements of the job which primarily affect the dissatisfaction scale are what Herzberg terms hygiene: those parts of the work situation (salary, working conditions, benefits, supervision, status, interpersonal relations, and so forth) that are external to the actual job the employee does. Increasing an employee's salary reduces dissatisfaction—but he still does not like what he is paid to do any more than before. Introduce a new benefit and he moves closer to the "no dissatisfaction" end of the scale—but his satisfaction with the work itself is unchanged.

Two problems arise when improvements in hygiene are used as a means to get employees to work. First, the need for hygiene improvements constantly escalates. The second paycheck after a salary increase is no different from the first, and the employee starts moving slowly toward the negative end of the "dissatisfaction scale." Since the base point has been raised, it will take even more money at the time of the next salary review to bring him back to the point of no dissatisfaction.

The second problem with trying to use hygiene to produce motivation is that good hygiene—good treatment—does not in itself produce the internal drive for goal achievement. While "internalization" may not be possible in all jobs and in all people, the attempt to improve it through improving only the conditions under which a job is performed cannot succeed. The exployee's drive to do the work is still external: he does the work because he gets a reward for doing it, not because he enjoys it. Hygiene alone cannot bring about real motivation. Hygiene can diminish dissatisfaction with the conditions under which the job is done but cannot increase the satisfaction the employee gets from the work itself.

To increase motivation the focus must be on the actual work that the employee performs: not how he is treated but how he is *used*. Does the job provide the opportunity for meaningful achievement? Does it involve real responsibility? Is there recognition for achievement? Does the job provide the opportunity to grow and learn? The strategy of job enrichment involves *changing the job* to provide these conditions.

The specific process required to enrich a particular job, however, involves more than mere acceptance of the theory. Figure I is a working model for the successful implementation of an experimental job enrichment project. It is based on two major job enrichment programs conducted at United Air Lines.[3]

Figure I.–Job Enrichment Model

Stage One:
Assemble Required Resources

1. Select the Job
2. Establish Job Enrichment Team
3. Appoint Job Enrichment Project Manager
4. Determine Required Resources
5. Determine Items to be Measured
6. Design Instruments
7. Conduct Survey and Analyze Data

↓

Stage Two:
Implement Changes in Content and Discretion

8. Identify Possible Changes in Content and Discretion
9. Screen Changes to Determine Final List
10. Plan Implementation
11. Implement Changes

↓

Stage Three:
Assess Results

12. Measure Effectiveness
13. Organizational Implication

↓

Increased Motivation Throughout the Organization

Most organizations that have instituted job enrichment programs have begun with an experiment before attempting the enrichment of jobs on a company-wide basis. The experiment involves enriching one or a few jobs, establishing experimental and control groups, and collecting data on job satisfaction and productivity before and after implementing changes in the job to determine the impact of those changes. Beginning with an experiment provides several advantages: costs and benefits to the organization can be determined, an effective strategy that is responsive to the particular organization's situation can be developed, and those who are directly involved in conducting the experiment become skilled resources when job enrichment efforts are begun later on a wider scale. Once the experiment has been completed and the benefits assessed, individual managers can begin to enrich jobs under their control based on the technology and learning derived from the experiment.

The general framework of the experimental project consists of assembling the resources required, implementing changes in job content and discretion, and assessing the results. Within this framework are the following specific steps.

Step One: *Selecting the job.*–There are several criteria recommended for determining which job(s) should be selected for initial job enrichment activity. The most appropriate job to select is one in which:

a. work attitudes are poor,

b. the impact on the organization is great (higher level as opposed to lower level jobs),

c. measures of productivity are available or can be determined,

d. the job is complete in itself, not a rotating assignment or one part of a bigger job,

e. the job is replicated rather than being unique,

f. the tasks performed by all incumbents are basically similar,

g. changes can be made in what job incumbents do without major equipment or industrial engineering expense, and

h. an increase in motivation will make a difference in performance.

Step Two: *Establishing a Job Enrichment Team.*–The Job Enrichment Team assures the successful completion of the project. Its three or four members should consist of the head of the organizational element in which the project will be conducted, the head of any other depart-

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ment affected by the project, and other senior managers who will be able to provide the advice, consultation and high-level support necessary.

The Job Enrichment Team meets with the Project Team when required to approve plans and provide assistance. It has three major functions:

a. appointing the project manager,

b. assisting the project team in arranging support activities both inside and outside the department or administration in which the project is conducted,

c. guiding the project team in successful completion of the experimental job enrichment program.

Step Three: *Appoint Job Enrichment Project Manager.*—The Job Enrichment Project Manager is responsible to the Job Enrichment Team for the operation of the project. Appropriate criteria for the selection of the project manager are: a) personal experience on the job to be enriched; b) personal experience in the supervision of that job; and c) a working knowledge of job enrichment theory and strategy. To optimize these criteria it may be useful to appoint co-managers, one from the line organization in which the project will be conducted and another who has the appropriate background in training and development.

Step Four: *Determine required resources.*—The project manager must identify the support manpower required as well as resources such as space, materials, and so forth.

The time required for a full job enrichment project will normally be between six months and a year. The initial measurements of job satisfaction and productivity must be taken and processed, changes in the job must be determined and installed, and final measures of the effects of the changes must be made. The longest period of time in the project will be between the implementation of the changes and the measurement of their effect. This trial period will usually be between four and eight months.

Step Five: *Determine items to be measured.*—In addition to the measures of job satisfaction and productivity, it is useful to determine the specific tasks and activities involved in doing the job to be enriched, the incumbents' assessment of the importance and priority of these activities, and the amount of discretion that the incumbent has. These measures can be obtained through interviews with supervisors and job incumbents or, more directly, through having the employee report his activities and priority and discretion judgments on a worksheet as he performs the job (Figure II). The data furnished by the worksheets will later provide a resource in exploring possible changes to be made in the job.

Figure II.—JOB ACTIVITY WORKSHEET

*Name*_______ *Domicile*____ *Date*____ *Page*____

WHAT I DO **Describe each activity as it occurs during the day.**	**PRIORITY I SET ON WHAT I DO:**				**DISCRETION I HAVE ON WHAT I DO:** **(The amount of say I have in *how* I do it)**				
	must	should	nice	could be elim.	none	low	avg.	high	comp.
1.__________									
2.__________									
3.__________									
4.__________									
5.__________									
6.__________									
7.__________									
8.__________									

Step Six: *Design instruments.*—Job satisfaction can be fairly easily measured by a questionnaire. The questions should be limited to items that determine the job incumbent's satisfaction in terms of the factors that affect motivation—the opportunity he has for making meaningful contributions, the amount of recognition for achievement the job provides, the opportunity to grow and learn. For example, a question like "To what extent is it possible to know whether you are doing well on your job?" with a scale from 1 (no way of knowing) to 7 (entirely possible) should provide sufficiently discriminating data for the formation of experimental/control groups and comparison with end result measures. The questionnaire should include background data on the employee's work location, length of service, educational level, age, and so on, for downline analysis of their effect on job satisfaction.

The productivity measure should include both output measures (quantity, quality, cost, and time) and administrative data such as absenteeism and grievances.

Step Seven: *Conduct survey and analyze data.*—The survey of job satisfaction (and the Job Activity Worksheet, if used) can be administered most directly by giving all job incumbents copies of the instruments with a short explanation by the project manager. Since the survey will again be taken at the conclusion of the project, employees should be asked to write their names on the questionnaire for comparison with post-installation measures. The confidentiality of the data should be assured.

The data from the job satisfaction questionnaire and the activity worksheet should be analyzed to determine differences in job satisfaction among different groupings of employees (high vs. low seniority, for instance) and to indicate particular areas of the job where change efforts should be directed. For example, employees may generally report that they have few opportunities for achievement on the job but are effectively recognized for achievements they do make. Opportunity for achievement, therefore, is an area to be explored in determining changes.

The activity worksheets can be used to identify specific tasks that can be changed to enrich the job. Ideally, the employee should report that most of his activities are musts and that he has high discretion in how he accomplishes them. Thus, deviations from this standard will indicate tasks that can be changed. The productivity measures, also gathered at this point, should be stored for comparison with the end result measures.

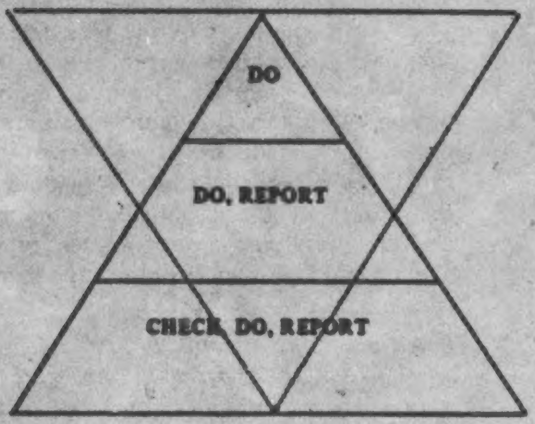
When all data has been collected and processed, the second stage of identifying and implementing changes can begin.

Step Eight: *Identify possible changes in content and discretion.*—Enriching a job involves making two kinds of changes: what the employee does *(content)* and the amount of say he has in doing it *(discretion)*. A list of changes should be developed for possible implementation. To develop this list it is helpful to appoint a "change team" consisting of those who have direct familiarity with the job, those who exercise control over the parameters of the job (Industrial Engineering, Industrial Relations, Budgets, and so on), and particularly those who will be directly responsible for implementing the changes in the job (the direct supervisors of the experimental group). Since job incumbents will not be involved in the process of deciding which of the proposed changes will ultimately be implemented in the job, their participation in the process of identifying possible changes should be avoided.

The most important source of job enrichment changes for the job in question is its management or supervision because it is from the supervisory job that delegation must come. Controls or limits that exist in the job to be enriched should be questioned with the goal of reducing or eliminating them.

The Delegation Triangle (Figure III) provides an excellent vehicle for examining a job to determine the changes that can be made in it. Work performed by employees on jobs that *need* enrichment is likely to fall into the "Check, Do, Report" area at the base of the triangle. Upon recognizing something that needs to be done, the employee checks with his boss for approval, does the job, then reports the results. A smaller number of activities fall into the "Do, Report" area. The smallest number are "Do"—the em-

Figure III.—Delegation Triangle[4]



ployee sees a job that needs to be done and does it without checking or reporting. To increase discretion, the triangle must be "rotated," as indicated by the dotted lines. When the Delegation Triangle has been fully rotated most activities will fall into the "Do" area with some in "Do, Report" and the smallest number in "Check, Do, Report."

Step Nine: *Screen changes to determine final list.*—The list of possible changes developed by the change team will probably include many that should not be implemented. To determine the final list of changes to be made in the job, the initial list should be screened according to the following criteria:[5]

Hygiene. All changes that deal with how the man is *treated* as opposed to how he is *used* should be eliminated.

Generality. Gross generalities such as "give him more responsibility" or "provide more discretion" should be eliminated.

What/How. Any suggestion that does not change what the man does or give him more say in how he does it should be eliminated.

Impact. If the change has little impact on the job, it will have little impact on motivation. While minor changes may be part of the final list, the emphasis should be on determining changes that have a significant impact on what the employee does. In considering the anticipated impact of a proposed change, it will be helpful to forecast the differences in activity reported on the job activity worksheets completed after the implementation of the change. If the proposed change will not be reflected on the worksheet, it may have little effect on the job or on motivation.

Horizontal Loading. Eliminate items that do not increase task variety or discretion. Giving an employee more of the same work, increasing productivity demands without changing the job, adding meaningless activities or rotating meaningless tasks will not lead to motivation.

Feasibility. The list should be screened to eliminate changes that are impossible to implement for reasons of cost, effect on other operations, and so forth.

Applicability. The changes should be common to all replications of the job throughout the organization.

Step Ten: *Plan implementation.*—In the initial job enrichment project the changes in the job should be introduced to one group of employees while a similar group continues to do the job as before. The experimental and control groups should be as similar as possible in terms of the background information from the job satisfaction questionnaire (average seniority level, educational level, and so on) and the average job satisfaction and productivity of both groups should be the same. Normal hygiene changes should be administered to all job incumbents without regard to the job enrichment experiment.

While the incumbents should have as little contact with incumbents from the other group as possible, supervisors of both the experimental and control groups should be familiar with the project and their role in it. The control group supervisor should advise the project manager of any changes made in the jobs of his employees so that these can be taken into consideration in interpreting conclusions from the final results.

Step Eleven: *Implement changes.*—The implementation of changes is simplified if those who are responsible for implementation were involved in determining the changes to be made. The job enrichment changes should be implemented in the same way that any other changes in the job would be: by the employees' supervisor without reference to "job enrichment" or "experimental group."

Adverse effects of imposed change should be minimized. This can be accomplished by:[6]

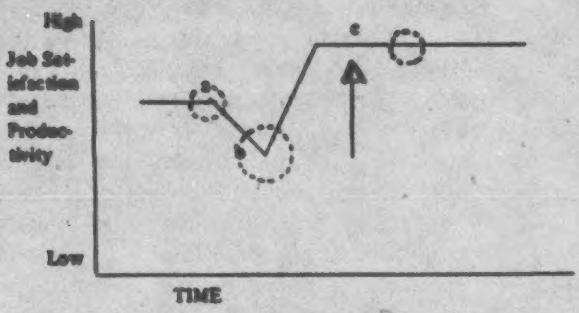
Providing Information. The employees affected should be completely familiar with the changes made in the job. This means not only communicating the specific change but also providing the necessary support and training required for the change to be effective.

Controlling the Rate of Change. Changes should be implemented systematically over a period of time.

Introducing them incrementally permits the employees to accommodate the changes more easily and make the necessary adjustments in their performance.

The "change curve"[7] portrays fairly simply the effect of changes over time (including job enrichment changes) made in a job by management (Figure IV).

Figure IV.–Change Curve



a. The point at which changes are introduced.

b. The "Valley of Despair." After changes in job content are made, satisfaction and productivity indices frequently get worse before they get better. Supervisors should be prepared for an initial–and temporary–drop in performance and and attitude. It is at this point that the need is greatest for managerial support (indicated by the arrow) to assure the success of the change.

c. The point at which changes made in the job have become fully integrated into it. The third stage of the project–assessment of results–begins when point "c" on the change curve is reached.

Step Twelve: *Measure effectiveness.*–After a trial period the initial measures of job satisfaction, productivity and activity should again be taken. The length of time between the implementation of changes and the measure of their effect will vary depending upon the number and impact of the changes, but a trial period of four to eight months should be sufficient to overcome any initial resistance to change and for the changes to become fully integrated.

Step Thirteen: *Organizational implementation.*–An experimental job enrichment project has two goals: to provide a data base which demonstrates that increased motivation can be achieved by building into existing jobs opportunities for achievement, recognition, discretion and growth; and to develop a specific technology for enriching jobs that is responsive to the particular organization's situation.

Thus the completion of the experiment is the first step in increasing motivation–measured by increased job satisfaction and productivity–of employees throughout the organization. The job changes made in the experimental group should be extended to all job incumbents and the results of the experiment should be fed back to everyone involved in the project (including employees in both the experimental and control groups).

Based upon the technology, data and resources developed by the experiment, managers throughout the organization can begin to enrich the jobs under their control without the need for formal experimental devices. Motivating employees is an on-going responsibility of management: the experimental job enrichment project will produce the guidelines for effective action to meet that responsibility.

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2. J.G. Hunt and J.W. Hill, "The New Look in Motivation Theory for Organizational Research," *Human Organization* (Summer, 1969); also, H.R. Kaplan, C. Tausky, and B.S. Bolaria, "Job Enrichment," *Personnel Journal* (October, 1969).

3. The basis for the Job Enrichment Model was provided by Dr. John A. Myers, Jr., Manager of Management Education, United Air Lines.

4. The "Delegation Triangle" is an element of Main Event Management Language. The language is one part of Main Event Management–a total management system conceived by Harold S. Hook, President and Chief Executive Officer of California-Western States Life Insurance Company. Copyrighted and trademarked by Main Event Management Corporation. Unpublished.

5. Frederick Herzberg, "One More Time: How Do You Motivate Employees?", *Harvard Business Review* (January-February, 1968).

6. Main Event Management, *loc. cit.*

7. *Ibid.*

Motivation: A Vital Force in the Organization

Module V:
Creating A Motivational Climate in the Organization

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OBJECTIVES FOR MODULE V

In this module you are introduced to organizational climate, Organizational Development (OD), and staff development, each of which serves as a useful model for integrating concepts, approaches and techniques presented in earlier modules.

Specifically, after completing this module and the readings, you should be able to:

- conceptualize organizational climate and identify its components
- compare and contrast a healthy and unhealthy organizational climate
- assess the organizational climate of your own library or information/ media center
- define and discuss the concept of Organizational Development (OD)
- identify and discuss some of the approaches and techniques of staff development
- identify the components of an effective staff development program
- assess the staff development program in your library or information/ media center
- suggest staff development approaches and techniques which can be included in your library or information/media center.

TOPIC I: ORGANIZATIONAL CLIMATE

We have all heard people refer to the library or organization in which they are working with such comments as the following:

- "This place is demoralizing."
- "This is an exciting place to work."
- "We haven't done anything different here in twenty years."
- "There's no chance to do anything creative or new at this library."

These types of comments reflect some of the perceptions which employees frequently have toward their work environment. Conscious or otherwise, such comments are an attempt to characterize various dimensions of the organizational climate of their library or information center.

For years management scholars have been trying to determine and explain those factors which cause employees to see some organizations as exciting and others as demoralizing. These same scholars have generally used the term organizational climate to describe a combination of factors or dimensions which together affect the behavior of people working in an organization. The following textbook definition of organizational climate serves as a good working definition of the concept:

> An organization's climate is a set of properties of the work environment perceived [directly or indirectly] by the employees who work in the environment and is a major force in influencing their job behavior.[1]

Various researchers have attempted to classify or categorize these properties. These factors, once identified, have served as the bases for developing instruments to assess organizational climate.

One such instrument or questionnaire was developed by Rensis Likert, a noted American social psychologist, who for several years has been a professor of psychology and Director of the Institute for Social Research at the University of Michigan. He identified eight general variables:

- Leadership processes used
- Character of motivational forces
- Character of communication process
- Character of interaction-influence process
- Character of decision making process
- Character of goal setting or ordering
- Character of control process
- Performance goals and training

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[1] James L. Gibson, John M. Ivancevich, and James H. Donnelly, Jr. *Organizations: Behavior, Structure, Process.* Dallas: Business Publications, 1976, p. 167–8.

Using these variables, Likert developed his "Profiles of Organizational Characteristics".[3]

SELF TEST V-1

At this point, locate Self Test V-1 on page V-37 and work through it. When it is completed, proceed to the Analysis which follows.

SELF TEST V-1: ANALYSIS

Likert has identified four different systems of management which can now be labeled as follows:

- System 1: Autocratic
- System 2: Benevolent Autocratic
- System 3: Consultative
- System 4: Democratic

To establish a profile of the management system used in any given organization, employees are asked to complete this questionnaire. Their respective scores are averaged to determine the overall profile for the organization. This questionnaire has been widely used by Likert and other researchers to study organizational effectiveness.

You were asked to characterize your library, department, information/media center, or organization in terms of the management system which *presently* exists, and that which you think *should* exist. Draw a line connecting the N's on your Self Test, and another line connecting the L's. Now label the four columns on your Self Test from left to right as System 1, System 2, System 3, and System 4. You should now be able to see where your organization falls on Likert's continuum in its present and preferred states.

Likert's research in a variety of organizations suggests that those with management styles more closely approximating System 4 are more likely to have a record of sustained high production. Similarly, the more closely an organization approximates System 1, the more likely it is to be ineffective in its performance.

If the majority of your L's fell in the Systems 4 column, a careful study of the instrument will indicate those areas in which change might be necessary in order to achieve this state in your library, department or information/media center.

Likert's instrument assumes that System 4 is the desired state for most organizations. If your L's did not fall in System 4, we suggest a careful analysis of each of the items in the questionnaire in light of its importance in your particular organization.

* * *

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[3] Rensis Likert. *The Human Organization: Its Management and Value.* New York: McGraw-Hill Book Co., 1967, p. 187-211.

The characteristics (organizational variables) included by Likert in his questionnaire incorporate many of the same factors which are considered by other scholars who have been concerned with organizational climate. Most of them include the interpersonal relations, motivational strategies, and leadership styles which have been discussed in earlier modules of the course.

Another interesting attempt to classify the dimensions of organizational climate has been developed by George Litwin and Robert Stringer.[3] Their model, and the questionnaire they designed to assess climate include the following eight factors or characteristics:

> **Structure.** This is the degree to which the organization and its authority structure restricts the activities of the individual employees. It would include such things as the assertion of formal authority, rigidity of rules, regulations, policies, procedures, etc.
>
> **Challenge and responsibility.** This is the degree of challenge, opportunity for achievement and creativity allowed in the organization. It would include many of the higher order needs as presented by Maslow in his hierarchy of individual needs.
>
> **Warmth and support.** This refers to the degree of supervisor support and encouragement. It includes many of the "belongingness needs" discussed by Maslow, McGregor and others.
>
> **Reward and punishment, approval and disapproval.** This refers to the alternative emphasis on rewards and/or punishment as a means for supervisory and organizational control over the behavior of subordinates.
>
> **Conflict.** This refers to the degree of potential and actual conflict between individuals and work units within a larger organization. For example, various departments of the library vying for a limited amount of total funds.
>
> **Performance standards and expectations.** This refers to the emphasis placed upon standards and the degree of understanding of expectations as perceived by the employees.
>
> **Organizational identity.** This dimension refers to the degree of commitment on the part of the individuals to the goals of the organization. Also reflected in this dimension is individual and group loyalty to the organization.
>
> **Risk and risk-taking.** This refers to the degree of importance placed on taking chances in decision making as perceived by employees. In other words, is the prevailing trend of the organization to encourage a certain amount of risk-taking or to play it safe?

---

[3] The dimensions which they identified are discussed in Chapter 4 of their book, *Motivation and Organizational Climate*, Boston: Division of Research, Graduate School of Business Administration, Harvard University, 1968, pp. 45-65.

Litwin and Stringer have also devised a questionnaire to assess each of these dimensions within a given organization. They assume that each of these dimensions relates to the other, together they contribute to the organizational climate of the organization, and the resulting climate affects the behavioral patterns of the employees working in this environment. Based upon experimental research utilizing this model of organizational climate, Litwin and Stringer have observed that "distinct organizational climate can be created by varying leadership styles" and that the established climates have "significant, often dramatic, effects on motivation and, correspondingly, on performance and job satisfaction".[4] They conclude that organizational climate is an important variable in the study of human organizations:

> The climate concept should aid, first, in understanding the impact of organizations on the person and the personality. If significant changes in relatively stable personality factors can be created in *less than two weeks*, then we can imagine how living in a given climate for a period of years could dramatically affect many aspects of personal functioning, capacity for productive effort, commitment to long-term relationships (such as friendships and marriage), and so on. An understanding of climate will aid in the study of the management process, particularly with regard to the effects different styles of management have on people, on organizational performance, and on organizational health.[5]

These studies and others suggest the importance of organizational climate and its potential impact upon the performance and satisfaction of employees. They suggest that organizations and management styles that take into account what is known about the needs and motives of individuals are likely to be more "healthy" than those which fail to do so. Table 1, on the next page, serves as a useful model to illustrate the differences between healthy and unhealthy organizations and the resulting behaviors.

---

[4] Litwin & Stringer, p. 144.

[5] Ibid.

TABLE 1

SOME CHARACTERISTICS OF UNHEALTHY AND HEALTHY ORGANIZATIONS*

UNHEALTHY	HEALTHY†
• Little personal investment in organizational objectives except at top levels.	• Objectives are widely shared by the members and there is a strong and consistent flow of energy toward those objectives.
• People in the organization see things going wrong and do nothing about it. Nobody volunteers. Mistakes and problems are habitually hidden or shelved. People talk about office troubles at home or in the halls, not with those involved.	• People feel free to signal their awareness of difficulties because they expect the problems to be dealt with and they are optimistic that they can be solved.
• Extraneous factors complicate problem-solving. Status and boxes on the organization chart are more important than solving the problem. There is an excessive concern with management as a customer, instead of the real customer. People treat each other in a formal and polite manner that masks issues—especially with the boss. Nonconformity is frowned upon.	• Problem-solving is highly pragmatic. In attacking problems, people work informally and are not preoccupied with status, territory, or second-guessing "what higher management will think." The boss is frequently challenged. A great deal of nonconforming behavior is tolerated.
• People at the top try to control as many decisions as possible. They become bottlenecks, and make decisions with inadequate information and advice. People complain about managers' irrational decisions.	• The points of decision-making are determined by such factors as ability, sense of responsibility, availability of information, work load, timing, and requirements for professional and management development. Organizational level as such is not considered a factor.
• Managers feel alone in trying to get things done. Somehow orders, policies, and procedures don't get carried out as intended.	• There is a noticeable sense of team play in planning, in performance, and in discipline—in short, a sharing of responsibility.
• The judgment of people lower down in the organization is not respected outside the narrow limits of their jobs.	• The judgment of people lower down in the organization is respected.
• Personal needs and feelings are side issues.	• The range of problems tackled includes personal needs and human relationships.
• People compete when they need to collaborate. They are very jealous of their area of responsibility. Seeking or accepting help is felt to be a sign of weakness. Offering help is unthought of. They distrust each other's motives and speak poorly of one another; the manager tolerates this.	• Collaboration is freely entered into. People readily request the help of others and are willing to give in turn. Ways of helping one another are highly developed. Individuals and groups compete with one another, but they do so fairly and in the direction of a shared goal.
• When there is a crisis, people withdraw or start blaming one another.	• When there is a crisis, the people quickly band together in work until the crisis departs.
• Conflict is mostly covert and managed by office politics and other games, or there are interminable and irreconcilable arguments.	• Conflicts are considered important to decision-making and personal growth. They are dealt with effectively, in the open. People say what they want and expect others to do the same.
• Learning is difficult. People don't approach their peers to learn from them, but have to learn by their own mistakes; they reject the experience of others. They get little feedback on performance, and much of that is not helpful.	• There is a great deal of on-the-job learning based on a willingness to give, seek, and use feedback and advice. People see themselves and others as capable of significant personal development and growth.

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*From Fordyce, Jack K. and Raymond Weil, MANAGING *WITH* PEOPLE, pp. 11-14, ©1971. Reprinted with permission of Addison-Wesley Publishing Co., Inc., Reading, Massachusetts.

†The description of a healthy organization may appear millennialist [ideal]. It is perhaps more a statement of direction than a state that has been achieved by any known organization.

TABLE 1 (Cont.)

UNHEALTHY	HEALTHY
• Feedback is avoided.	• Joint critique of progress is routine.
• Relationships are contaminated by maskmanship and image building. People feel alone and lack concern for one another. There is an undercurrent of fear.	• Relationships are honest. People do care about one another and do not feel alone.
• People feel locked into their jobs. They feel stale and bored but constrained by the need for security. Their behavior, for example, in staff meetings, is listless and docile. It's not much fun. They get their kicks elsewhere.	• People are "turned on" and highly involved by choice. They are optimistic. The work place is important and fun (why not?).
• The manager is a prescribing father to the organization.	• Leadership is flexible, shifting in style and person to suit the situation.
• The manager tightly controls small expenditures and demands excessive justification. He allows little freedom for making mistakes.	• There is a high degree of trust among people and a sense of freedom and mutual responsibility. People generally know what is important to the organization and what isn't.
• Minimizing risk has a very high value.	• Risk is accepted as a condition of growth and change.
• "One mistake and you're out."	• "What can we learn from each mistake?"
• Poor performance is glossed over or handled arbitrarily.	• Poor performance is confronted, and a joint resolution sought.
• Organization structure, policies, and procedures encumber the organization. People take refuge in policies and procedures, and play games with organization structure.	• Organization structure, procedures, and policies are fashioned to help people get the job done and to protect the long-term health of the organization, not to give each bureaucrat his due. They are also readily changed.
• Tradition!	• There is a sense of order, and yet a high rate of innovation. Old methods are questionned and often give way.
• Innovation is not widespread but in the hands of a few.	• The organization itself adapts swiftly to opportunities or other changes in its marketplace because every pair of eyes is watching and every head is anticipating the future.
• People swallow their frustrations: "I can do nothing. It's *their* responsibility to save the ship."	• Frustrations are the call to action. "It's my/our responsibility to save the ship."

The two columns presented in the table represent extremes with respect to each of the conditions described. The composite of the conditions presented in the "healthy" column represents an ideal toward which a growing body of research and experience in the behavioral sciences suggests organizations should be striving. It is highly unlikely that the climate of your information center or library is reflected by either of the columns in its entirety. You may find it useful to go through each of the items in the table again and rate your library or information center as leaning toward the healthy or the unhealthy climate.

TOPIC II: ORGANIZATIONAL DEVELOPMENT

If you accept the concept of organizational climate; that there is such a thing as a healthy climate and an unhealthy climate, and that the organizational climate affects the behavior of the individuals in your organization and the overall success of your organization, then the question arises as to what can be done to build and sustain a healthy organizational climate. Unfortunately, there is no simple solution or formula to guide the manager or supervisor in this endeavor. One must build upon the existing research and knowledge that we have about motivation and individual needs, and develop a consistent strategy that encourages the development of the individuals in the organization to their fullest potential. An approach which has gained considerable attention as a systematic strategy for improving organizational climate and adapting to organizational change is referred to as Organizational Development, or OD.

A useful four part definition of Organizational Development (OD) follows:

- A planned, systematic program initiated by an organization's management,
- With the aim of making the organization more effective,
- Through the use of a variety of methods designed to change organizational behavior,
- And based upon the assumption that organizational effectiveness is enhanced to the extent that the program facilitates the integration of individual and organizational objectives.[6]

When you examine the above definition of OD, which is based on the importance of integrating organizational and individual goals, and includes among its methods many of the approaches introduced in earlier modules (e.g., MBO, Participative Management, Job Enrichment), the rationale for its inclusion in this final module should become apparent. The most important new element in OD is an emphasis upon a systematic approach to the integration process.

One aspect of OD which is implicit but not explicit in the above definition is the importance of an organization's ability to cope with the changing environment in which it operates. Changes in the environment require most service organizations to continually assess their programs, policies, and procedures and adjust them accordingly.

Libraries and information centers have been confronted in recent years with major changes in their environment including new technologies, changing social and cultural conditions, and new approaches to education, among others. These changes make new demands upon the personnel of libraries and information centers. Individual staff members must be prepared to adjust to and, indeed, to anticipate these new demands in order to maintain an effective level of organizational performance. OD methods are frequently seen as means for facilitating such adaptability among staff members. The following readings should help you to attain a good overview of OD and the variety of methods which are encompassed by the approach.

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[6] James L. Gibson, et al., p. 371.

AT THIS TIME, WE SUGGEST THAT YOU STUDY THE FOLLOWING READINGS:

READING V-1.

Burton, Gene E.
"Organizational Development", *Management World*, 5:30-32, February 1976; 5:32-35, March 1976; 5:33-35, April 1976.

This article, published in three parts, introduces the assumptions and objectives of OD as a process. Included is an annotated listing of the numerous methods which have been employed by OD practitioners.

READING V-2.

Mendiville, Miguel and W. Bernard Lukenbill.
"Staff Development and Evaluation: the OD Point of View", *School Media Quarterly*, 3:307-315, Summer 1975.

Introduces OD as a systematic approach to staff development and discusses its applicability to an educational system: specifically a school media center. Note the emphasis on the relationship between the media center and the entire school system. Included is a useful bibliography.

OD, then, can be seen as a process for realizing change in an organization. It emphasizes changing the attitudes and behaviors of the individuals in an organization in order to improve the effectiveness of the organization and its ability to adjust to a changing environment. If you accept Gibson's definition of OD as given on page V-8, then one of the most important aspects of OD is as an integrated approach to staff development. The possible methods and combinations of methods available to the practicing manager or supervisor are boundless and must be selected and introduced with deliberateness and caution. We shall discuss some of these methods of staff development in Topic III. Acknowledging that a systematic approach to OD frequently involves intervention by outside change agents, we have decided to emphasize those approaches and techniques which can be introduced through the initiative and commitment of the library's staff. You should keep in mind that change for the sake of change should not be the objective of OD. Rather, the goal should be to create a climate and a way of thinking within the total organization, which will foster objective problem solving and discriminate change.

TOPIC III: STAFF DEVELOPMENT

In the minds of many managers and supervisors, the term "staff development" is synonymous with workshops, institutes, conferences, and formal educational experiences. The idea of sending staff away for training is deeply imbedded in the philosophy of many managers. Likewise, many librarians and other personnel in libraries and information centers are always on the alert for formal educational experiences in the guise of university courses, conferences, workshops, and institutes which will contribute to their professional development and competencies. Such experiences can, indeed, make a valuable contribution to the staff development program of any library or information center. However, they are only one means for staff development, and usually an expensive one at that. These experiences are frequently not integrated into a total development program and often the results do not contribute significantly to the overall effectiveness of the organization. They are not a substitute for the organization's responsibility for in-house staff development programs.

Managers and supervisors of libraries and information centers shoulder the major responsibility for staff development; not because they "owe it to the staff", but rather because they "owe it to the organization". The bottom line of any worthwhile staff development program is organizational effectiveness. As a manager or supervisor you must ask yourself questions such as the following:

- How can I encourage desirable behavioral patterns among staff members?
- What skills and abilities does a staff member need to make a maximum contribution to the goals of the organization?
- What information does a staff member need to effectively perform his or her job in the organization?
- What can I do to instill in the staff a commitment to the goals of the organization?

An honest analysis of such questions should suggest your responsibility to develop a systematic, in-house approach to staff development. Such an approach to staff development should include careful attention to the development of every employee from the time of recruitment into your library or information center until they terminate their employment. Even at the time of departure, an exit interview should be conducted for each employee to obtain feedback for improving your approaches to staff development. A good staff development program should include a carefully planned orientation, systematic training programs, a performance appraisal program, as well as opportunities for professional growth which also contribute to the goals of the organization.

ORIENTATION

Orientation can be defined as the process of acclimating the new employee to the library or information center. It includes providing each employee with *all* the information he or she may need to function effectively in the organization and to contribute to the growth and operations of the organization. As such, an orientation program is much more than a one-day, or "one shot" program. Rather, it is an ongoing program which must be re-emphasized at various stages in the career of each person in your organization, according to his or her changing role(s) and responsibilities.

Over a period of time an orientation program should provide the new employee with the following kinds of information:

- The history and tradition of the library or information center as well as those of the organizational unit in which he or she will be working.
- The goals and objectives of the library or information center as well as those of the organizational unit in which he or she will be working.
- The interrelationships between separate organizational units in the library or information center as well as with the larger organization of which the library is a part.
- The policies of the library or information center beginning with those which will have the most immediate impact upon employees (e.g., personnel policy, policies most directly related to the initial tasks of the employee).
- The work load of the unit or department, and how the work unit is organized.

Information such as that included above cannot be adequately introduced to and digested by the employee in a single day, but rather must be introduced and reinforced over a longer span of time. In addition to the above components, an orientation program should include the more obvious items such as the physical layout, the location of necessary conveniences, and an introduction to co-workers. Unfortunately, many orientation programs are limited to the latter kinds of information. While they are necessary ingredients of an orientation process, they do not add up to an effective orientation program.

TRAINING PROGRAM

Whereas an orientation program should create the setting for a new employee, the training program is concerned with developing the knowledge, skills, and techniques needed to perform the tasks requisite to the position being filled. Traditionally, libraries and information centers have relied upon on-the-job training to develop these necessary knowledges, skills, and techniques. There are some general guidelines to assist the manager in developing a suitable training program for new personnel.

- There must be a person designated to assume the role of *primary trainer*. If it is not the immediate supervisor, then it must be someone who already has a mastery of the knowledge, skills, and techniques required for the job. This trainer must be a capable teacher and someone to whom the trainee can relate.

- There should be *flexibility* in any training program based upon an assessment of the skills and abilities of the new employee. No two employees come to a position with the same experiences and educational backgrounds.
- An effective training program should include a *time-table* for learning the new skills and techniques over a period of time. If possible, this should allow for the trainee to attain a mastery of techniques and skills on a progressive basis rather than being barraged with numerous new techniques simultaneously.
- In addition to developing skills and techniques, a training program should emphasize *"logical" training*. That is, the trainee should be made aware of the reasons why each task is being performed and how it interrelates with broader processes of the organization.
- During the training the idea of *performance standards* and criteria for evaluation of the various activities should be introduced. The trainee should be made aware of the general expectations of the organization.
- The training program should allow for considerable *feedback* from the trainee. An open communication channel between the trainee and the trainer should be fostered.
- The program should also provide for periodic checking and rechecking of the progress of the learning process. This becomes particularly important when the position requires a wide variety of tasks and activities, and many on an irregular basis.

The induction period, which includes the new employee's initial orientation and training period, is a crucial time for encouraging desirable patterns of behavior. It is during this period that personnel begin to establish their own patterns of behavior based upon their perceptions of the organization, of supervisors, and of fellow workers. If a questioning attitude and initiative are discouraged at this time, they may remain inhibited in the future. It is also a time when new personnel are eager to succeed and, therefore, are attempting to ascertain the behavior patterns which tend to be rewarded. If they sense, or glean from fellow employees, that the name of the game is to not "rock the boat", then they will begin to behave accordingly. If they sense that power, sociability, or achievement is the most likely behavior to be rewarded, they are likely to concentrate on satisfying these needs, unless of course, they decide that they cannot adjust to the prevailing reward system at all. Many of the attitudes and behavior patterns which are formed in the early periods of employment remain a part of the employee's perception long after the initial months of employment.

PERFORMANCE APPRAISAL

In addition to giving careful consideration to orientation and training, an organization should have an ongoing program of performance appraisal. As members of an organization, most of us are continually looking for signs or assurances that we are performing well or that we are impressing our supervisors and/or peers. It is a manifestation of our need for self esteem and recognition. In most hierarchical structures, we attempt to determine this from the reactions of immediate supervisors or someone higher in the organizational structure.

The counseling and evaluation of employees can be provided, in part, by a formal performance appraisal program. Every organization should have a performance appraisal program which ideally serves *all* of the following functions:

- It should provide an objective and rational basis for compensation, promotions, transfers and dismissals.
- It should assure that everyone is treated on an equal basis, thus avoiding favoritism.
- It should contribute to the motivational climate of the organization by encouraging desirable behavior.
- It should provide employees with an understanding of organizational expectations.
- It should provide employees with an understanding of where they stand, and how they are progressing.
- It should cause supervisors to study their own performance as well as that of their subordinates, and, as a result, to change their own behavior where required.

As is the case in most organizations, the performance appraisal programs of most libraries and information centers do not adequately fulfill all of these functions. They frequently consist of nothing more than a formal ritual of commiting evaluations to paper once a year and putting them in personnel files; but contributing little to improved performance by either individuals or the organization. The most common performance appraisal systems utilize some kind of printed rating scales, but the variety of available techniques and approaches is infinite. The following reading documents this variety.

BEFORE PROCEEDING WITH THIS TOPIC, WE SUGGEST THAT YOU STUDY THE FOLLOWING READING:

READING V-3.

Oberg, Winston.
"Make Performance Appraisal Relevant." *Harvard Business Review*, 50:61-67, January/February 1972.

After a brief introduction to the rationale for performance appraisal systems, brief descriptions of some of the more frequently used approaches and techniques are introduced. Pay particular attention to the "common pitfalls" of appraisal systems, and, particularly, the dangers of total reliance upon a single approach.

There is a growing consensus in the management literature that no single approach or technique of performance appraisal can serve all of the purposes which a performance appraisal program ought to serve. Rather, a combination of approaches and techniques should be developed which together will serve these purposes. The approach which comes closest to a total system is Management by Obejctives (MBO), which you examined in Module III (see pages III-14-18). At this time, you may find it useful to go back and review MBO as one approach to performance appraisal. Oberg noted that MBO is most effective for "objective coaching, counseling, and motivational purposes, but some form of critical incident appraisal is better when a supervisor's personal judgement and criticism are necessary."[7] As was suggested in our earlier discussions of MBO as applied to libraries and information centers, many library activities are not easily quantified, but rather, involve quality judgements. These can be more accurately documented by observation based upon objective critical incident assessments on the part of the supervisor. A good example of this is the reference area where the criteria for effective service might be established by mutual agreement, but the resulting criteria such as accuracy or even courtesy do not lend themselves to quantifiable measurement. In developing a performance appraisal program, the manager or supervisor can integrate a variety of techniques and approaches which together meet the needs of the organization for decision making information on salary increases and promotions, as well as the individual's need for guidance and personal growth.

A formal program of performance appraisal, regardless of how carefully planned and administered, cannot totally replace the need for regular counseling of employees, on the part of the supervisor or manager. Although, technically speaking, such one-to-one counseling can be considered a part of the appraisal program, because of its necessary spontaneity, it cannot be totally planned. The supervisor's frequent counseling of his or her employees, should encourage desirable behavior.

One dimension of such informal counseling is the opportunity to reinforce desired behavior. This concept of positive reinforcement has been studied and discussed in the context of behavior modification. Despite the negative connotations which this term often arouses, we are using it here to mean simply one approach which supervisors and managers can use to encourage desirable actions on the part of employees. As was seen in Module IV, the way managers interrelate with employees has a definite impact upon their behavioral patterns. The thrust of studies on behavior modification in organizations is an emphasis on the desirability of positive reinforcement as opposed to reliance upon negative counseling.

BEFORE PROCEEDING WITH THIS TOPIC, WE SUGGEST THAT YOU STUDY THE FOLLOWING READING:

READING V-4.

Clary, Thomas C.
"Motivation Through Positive Stroking." *Public Personnel Management*, 2:113-117, March 1973.

This is a very practical article on the implications of behavior modification research and the importance of positive reinforcement for creating a healthy motivational climate in the organization. It lists some of the "rewards" that supervisors have at their disposal and suggests how they can be most effectively used.

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[7] Winston Oberg, "Make Performance Appraisal Relevant," *Harvard Business Review*, volume 50, January/February 1972, p. 66.

You might wish to reflect upon your own use or lack of use of "positive stroking". Have you recently used negative criticism or been on the receiving end of negative criticism which failed to achieve its desired purpose? In applying positive reinforcement effectively, one author has suggested the following considerations:

- **Immediacy.** For best effects, reinforce as quickly after the act as possible so that it is clear precisely what is being reinforced.
- **Specificity.** Make sure there is no doubt in the other person's mind as to what action is being recognized—so that it can be repeated.
- **Proportion.** Make the recognition fit the achievement. Too much is phony, too little is easily forgotten.
- **Consistency.** While shaping the desired behavior, continue to reinforce the behavior you want. Lapses and omissions confuse.[8]

The performance appraisal program (or lack thereof), and the methods of employee counseling used in your library or information center on a regular basis, have an impact on the behavior of your staff and the motivational climate of the organization. Careful attention should be given to this managerial responsibility in every organization because of its potential impact upon the behavior of employees and the overall effectiveness of the services you are trying to provide.

STAFF DEVELOPMENT AND GROWTH

Although orientation, training, appraisal, and counseling are essential components of a staff development program, they are usually directed toward the demands and requirements of specific positions and jobs within the organization. They are important parts of staff development, but they are not enough. In addition to these ongoing activities, an organization needs to provide opportunities for individuals to grow beyond the constraints imposed by the activties of their respective positions. There are many reasons why an organization must take a broader outlook toward staff development, and these reasons are dictated by the needs of the individuals and the needs of the organization:

- The interrelationship of activities and tasks which contribute to the achievement of library or information center goals require staff members to have a perspective which is broader than the immediate activities of their own jobs.
- Vacancies caused by resignations and retirements dictate a staff development program that provides for flexibility and upward mobility of staff.

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[8] Thomas L. Quick, *Understanding People at Work*. New York: Executive Enterprises Publications, 1976, p. 57.

- Changing conditions in the library or information center's environment (e.g., changing technology, changing needs of users) continually call for new staff skills and competencies.
- The natural desires of staff members to grow professionally and satisfy higher order needs for recognition, esteem, and fulfillment require appropriate organizational responses.

The readings which follow discuss the importance of staff development programs to libraries and information centers, and the responsibilities that managers must assume in their formulation and execution.

BEFORE PROCEEDING WITH THIS TOPIC, WE SUGGEST THAT YOU STUDY THE FOLLOWING READINGS:

READING V-5.

Fels, Marshall.
"Leadership Development of the Library Staff". *News Notes of California Libraries*, 64:320-325, Spring 1969.

In this brief article, the author stresses the manager's role in staff development as an integral part of his or her managerial responsibilities. The article reinforces the idea of ongoing training throughout the individual's career in a given library or information center.

READING V-6.

Guidelines Subcommittee of the Staff Development Committee, Personnel Administration Section, Library Administration Division, American Library Association.
"Guidelines to the Development of Human Resources in Libraries: Rationale, Policies, Programs and Recommendations." *Library Trends*, 20:97-117, July 1971.

After presenting the rationale for a staff development program in libraries and information centers, this report emphasizes many of the important factors to be considered in the implementation. Study the "basic principles" which should guide in the planning of a personnel development program (pp. 39-40). Also suggested are the respective responsibilities of individuals, libraries and information centers, state agencies and national associations. In spite of the intervening years since this report was issued, there has been relatively little progress in many libraries toward the development of a systematic staff development program.

There are many approaches and techniques for staff development which can be introduced in your library or information center to accomodate the demands

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listed above. As indicated in the introduction to this topic, we will concentrate upon in-house strategies. External experiences including such things as formal training programs and professional meetings are limitless and should be used as complements to internal efforts rather than as substitutes for them. For each of the approaches and techniques introduced in the following pages, we will explain its rationale or purpose, strengths and weaknesses, and problems in terms of applicability.

THE UNDERSTUDY METHOD

A traditional way to prepare for personnel changes has been for a supervisor or manager to groom a selected subordinate for advancement by giving him or her increasing responsibility and customized training in anticipation of a step upward in the organization. In the traditional hierarchical organization, this has been a very comfortable approach. It affords numerous apparent advantages to the organization, as well as to its managers and supervisors. It prepares for unexpected resignations and temporary or extended absences of supervisors and managers. In a very small work unit this can be a most effective means for staff development, and potentially affords the understudy opportunities for professional growth and job satisfaction.

In spite of these advantages, there are potential dangers in total reliance upon this approach. It assumes that the manager or supervisor, who is doing the grooming, has developed a desirable set of technical and human skills which are worthy of emulation. If not, this method can perpetuate many of the characteristics of an unhealthy climate attributable to poor leadership methods. Secondly, it assumes that there is only one logical heir apparent in the work unit which may have negative or even devastating effects upon other employees. If the understudy approach is used with more than one subordinate, it can create a competitive climate which might well detract from the goals of the work unit. Therefore, in spite of the ease with which it can be introduced, the understudy method should be applied with appropriate caution.

JOB ROTATION

A widely used method of development, job rotation involves the organized shifting of an employee or several employees from one position to another over a predetermined period of time. It has been used during the induction period in some organizations to give new employees an opportunity to gain a broader perspective of a complex organization, or as a means of overcoming the eventual boredom of a narrowly defined set of activities comprising a single job. For the organization, there are many potential values to some kind of rotation program which are frequently cited:

- It gives the employee a broader perspective of the library or information center and, therefore, helps to clarify relationships among activities and operations.

- The individual can bring new perspectives and ideas to a position, based upon previous experience in other positions. For example, a cataloger rotated to the information desk will bring a set of technical skills which he or she could share with users of the catalog.
- It gives several managers or supervisors an opportunity to assess the performance of an individual over a period of time. Likewise, the employee is not dependent upon the unfair judgement of a single supervisor.
- It prevents the individual from becoming permanently locked into a single specialization before he or she is able to make such a permanent career commitment.
- Probably the strongest advantage cited for job rotation is the flexibility which it gives to an organization in terms of coping with unanticipated situations at the organization-wide level.

In spite of these potential advantages, job rotation has not been widely used in larger libraries and information centers. On the other hand, most smaller libraries have *de facto* rotation because of the smaller size of their staffs. The reasons cited most frequently for not implementing job rotation include the following:

- The time and expense incurred by the additional training inherent in such a practice.
- It runs counter to the growing trend toward specialization in libraries and information centers. Such factors as new technologies are fostering even greater specialization.
- It can interfere with the continuity of programs and the evolution of ongoing services.

Because of these drawbacks, a program of job rotation must be introduced cautiously. While the variety of activities created by rotation can afford individuals an opportunity to expand their skills and knowledge, it can, on the other hand, frustrate their desires to achieve expertise in a chosen area.

JOB ENLARGEMENT AND JOB ENRICHMENT

These two approaches to staff development were introduced in Module III, and you may find it useful to review them at this time (see pp. III-19—III-22). Job enrichment is a particularly appropriate means for accomodating the individual's need for achievement and professional growth.

SPECIAL ASSIGNMENTS

Another method which can be used to the benefit of the individual and the organization is to give an individual, or group of individuals, a special assignment outside of the constraints of their regular duties. It can center on an organizational problem or issue that needs to be studied. For example, a staff member might be asked to study alternative circulation systems available and report on the applicability of each in the library or information center. An *ad hoc* committee might be created to design and conduct a user study of the library or certain services or programs. The possibilities are endless. The selection of assignments can be based upon actual or potential needs of the organization.

Special assignments afford many potential advantages to the individual and to the organization. From the organization's point of view, they give the manager an opportunity to assess the abilities of staff members in a problem solving situation. They give staff members a broader organizational perspective. From the staff member's point of view, such experiences give them an opportunity to grow professionally by allowing them to acquire new knowledges and skills beyond the confines of their regular job activities.

Special assignments should be introduced cautiously with clearly delineated guidelines as to the scope of the assignment and time requirements; otherwise, they can create frustration for already overworked staff members, and may detract from their ongoing activities and regular job assignments. Consideration must also be given to the qualifications of the individuals involved. For example, what preparatory training do they need to execute the assignment? You may find it useful to review the section dealing with the use of committees in Module III (see pp. III-9—III-11), since many special assignments take the form of task forces and group activities.

TASK FORCES

In recent years there has been considerable interest in, and experimentation with, greater use of project teams or task forces, which are set up to function outside the existing hierarchy of the organization. These are teams of individuals with regular assignments within the organization who are brought together because of their respective areas of expertise and/or diverse backgrounds to spearhead the development of a new project which may eventually be incorporated into the ongoing services provided by the organization. This team of individuals becomes a separate operating unit within the organization for the duration of its activities, which would normally include the planning, testing, implementation, and evaluation of the new service. There are many potential uses for such an approach in libraries and information centers. Libraries are increasingly forced to consider incorporating new services either in response to new user demands and technological advances, or because of the inadequacies of some of their existing information services. A good example of the applicability of such an approach might be in response to the growing number of machine accessible data bases. A task force might be created to investigate the availability of such data bases and their potential value to their identified clientele. Based upon such an evaluation, the team would be responsible for exploring alternative ways of incorporating these new information services and determining the relative effectiveness, as well as the cost, for each alternative. After presenting its findings, the team might further be asked to implement the new service and evaluate its effectiveness. Eventually the service would be incorporated into the existing organizational structure or, if necessary, rejected.

Such a system could be used for experimenting in other areas of library and information service, such as library use instruction. Task forces could also be used to introduce a new management system such as MBO. Such task forces, while directed at improving organizational effectiveness, are also contributing to the professional growth of participating staff members.

The above techniques and methods of in-house staff development represent but a sampling of those available to a library or information center. Ideally, they have the potential for tapping under-utilized human resources within the staff of any organization.

SELF TEST V-2

At this point, locate Self Test V-2 on page V-41, and work through it. When you have completed it, and rated your library or information center, return to the Analysis which follows.

SELF TEST V-2: ANALYSIS

This self test was included to encourage you to think carefully about the staff development effort in your library or information center. The score on this test should be considered as a rough indicator of this effort. If your organization's score was 40 or above, it suggests that there is a conscious recognition of the importance of staff development and there has been considerable effort to systematize it. If your score was between 30 and 40, your organization's performance is better than average. If your score was below 30, it is probably typical of a majority of libraries and information centers or, for that matter, most types of organizations. Traditionally, organizations have not given careful attention to staff development. Even such basic components as orientation, training and counseling are left to the whim of individual supervisors and managers. Effective appraisal systems must have strong support from top managers and be regularly encouraged or they frequently become nothing more than an annual ritual. Opportunities for individual growth and their potential contribution to organizational effectiveness are often overlooked. On a more positive note, the components of an effective staff development system are sometimes found emerging without conscious planning from the intuitive good sense of an enlightened supervisor or manager.

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TOPIC IV: SUMMARY

In this module, you have studied the concepts of Organizational Climate and Organizational Development (OD) and the managerial function of Staff Development. Hopefully, the inter-relationships between the three, and their dependence on the research and theories of behavioral science presented in earlier modules, have already become apparent to you. It might be useful, however, to conclude this module and, indeed the course, by restating and summarizing some of the assumptions on which these theories are based.

Organizational Climate is the perception which employees have of the organization which, in turn, affects their behavior and actions and, ultimately, the performance of the organization. Organizational Development (OD) is a planned strategy for changing these perceptions and, in turn, the behavior and actions of employees by introducing a variety of appropriate methods and techniques. Staff Development programs should be designed to create the desired perceptions and, in turn, behavior and actions by incorporating appropriate methods and techniques into the ongoing management process. The ultimate aim of both OD and Staff Development is a more effective organization. More specifically, the following results should be expected from both:

- A library or information center which is responsive to the changing needs of the user
- A library or information center which is constantly incorporating new technology and innovation, adopting it to its own situation where necessary, and rejecting it when inappropriate
- A library or information center where the activities of each individual are consciously directed toward the organization's goals.

If one accepts the growing evidence from behavioral science research, then, in order to achieve these results, Organizational Development or a Staff Development Program must be based upon certain assumptions which have been presented at various times during this course. They include the following:

- That individuals have various needs which they seek to satisfy in their work setting including the needs for achievement and self-actualization
- That there is some ordering of these needs by individuals, and this ordering is influenced by the signals that they receive from the organization through managers and supervisors
- That the organization must introduce management approaches which permit individuals to satisfy these needs
- That these individual needs are not incompatible with organizational goals, but rather, can be integrated with the accomplishment of organizational goals.

If you cannot accept these assumptions, then efforts toward improving the motivational climate of your library or information center will probably prove futile. Even if you accept these assumptions, the road toward a healthy climate may well be a bumpy one and not without an occasional detour. Trial and error will be inevitable along the way. A strong commitment to excellent library and information service on the part of the managers should be the overriding incentive behind your efforts to improve the motivational climate of your library, information center or other organization.

EXERCISE V-1

Before reading the Case Study which follows, locate Exercise V-1 at the end of this module, and follow the directions at the top of the page.

CASE STUDY V-1

Since our last visit to University Library X (introduced in Case Study IV-1) the head librarian, Jane Y, has retired. A new librarian, Douglas McGregor, has been appointed. He had been director of a smaller college library where he had introduced a participative approach to management. He had experimented with various techniques and systems, including MBO, paying careful attention to the needs of the staff for growth and development, and had found the efforts had been worthwhile in terms of the library's effectiveness. In the past few years, University Library X has drifted from one crisis to another, and has been under constant criticism from various faculty and student groups who were unhappy with the services in general, although the level of financial support had allowed for the development of rather excellent collections in most fields over the years.

The library was centralized in an eight-year-old building which was adequate in size, but not too well planned in terms of arrangement and service relationships. The organizational structure was a functional one (e.g., circulation, reference, acquisitions, serials, cataloging) with each department head reporting to the head librarian.

As McGregor began to assess the situation, he found that the public services staffs had built a tremendous defense mechanism against the rather vocal attacks upon their respective operations. The staff had either ignored these demands or discounted them as the unreasonable demands of a vocal minority. McGregor's meetings with various student and faculty groups convinced him that the level of discontent went much deeper than this. Their complaints were directed at many things including inadequate hours, brusque treatment by individual public service staff members, inability to locate materials needed on the shelves, an inadequate reserve system, lack of library interest in new data bases, inadequate orientation programs for new students, and lack of directional and user aids, to mention but a few. The only bright spot was considerable praise from the English department about the library use instruction program which had been introduced by Frank Martin and Betty Lou Morningside a year ago, but had been abruptly discontinued after a rather promising start.

McGregor's assessments of the two public service department heads, based upon numerous staff meetings as well as many individual conferences, were as follows:

David B., Head of Reference, was a rather inflexible man, who was totally unresponsive to his staff and condescending to the library users. Policies were rigidly formulated and enforced. His general philosophy of reference service was that the user should learn to be an independent consumer; a philosophy which he negatively relayed to his staff in such phrases as: "We don't have time to spoon-feed them."

The reference staff consisted of five professionals and two supporting staff members. Two of the professionals had over a period of years accepted David B.'s philosophy of reference, and resigned themselves to a forty hour a week job. The other three had occasionally tried to assert themselves by suggesting new programs or services, but they had been consistently thwarted and undermined in these efforts by David B.

Anne X, Head of Circulation, was a hard working woman who was committed to orderly files and efficient procedures. She was also a thoughtful person who tried to create an idyllic family atmosphere in her department. Her staff was carefully trained in the rules and procedures which she had instituted over the years, but in her quest for perfection, Anne X had also initiated a tight system of checks and balances. Every activity was carefully checked and monitored by her personally.

The staff of ten full-time employees and numerous student employees in Circulation had assumed an apathetic posture toward the clients, who they perceived as continually questioning and sabotaging the system. Several of the full-time employees had grown totally apathetic toward their work. Others remained in the department for very short periods of time, and, after trying to suggest changes in some of the cumbersome procedures, left their jobs. They felt confined in their respective positions, but would never express their frustrations to Jane Y, the former Head Librarian, because they didn't want to get Anne X, who was such a "kind and thoughtful person" in trouble.

By a fortuitous (and unusual) set of circumstances, both Anne X and David B were due to leave the library in a few months. After a careful analysis of the present staff in both departments, Douglas McGregor had decided that it would be desirable to fill both positions with experienced people from outside the library.

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SELECTED MATERIALS FOR FURTHER STUDY

ORGANIZATIONAL CLIMATE

READINGS

Hellriegel, Don and John W. Slocum, Jr.
"Organizational Climate: Measures, Research and Contingencies", *Academy of Management Journal,* 17:255-280, June 1974.

This article will be of interest to the student who wishes to more fully understand the concept of organizational climate, and the research upon which it is based. The authors examine the sometimes contradictory research findings which have resulted from efforts "to conceptualize, measure, and utilize the organizational climate construct since 1966." The table on pages 264-269 presents a summary of organizational climate studies indicating the researchers; the instrument they used; the size and nature of the sample; the research model; and the results of each study.

Lawler, Edward E.
"Developing a Motivating Work Climate", *Management Review,* 66:25-38, July 1977.

Written by a practicing management consultant, this brief article offers some suggestions to the manager or supervisor for developing a motivating climate in the work place. The author first examines some of the societal trends which have negatively influenced motivational climate, and them offers some suggestions as to what might be done to improve the climate, especially in large organizations.

Likert, Rensis.
The Human Organization: Its Management and Value. New York: McGraw-Hill, 1967.

Likert's "Profile of Organizational Characteristics", which you completed in Self Test V-1, was originally published in this book in which he presented his "System 4" theory which we discussed briefly on pages V-2–V-4. Those of you who wish to explore Likert's System 4 further, will want to begin here. Likert also discusses the concepts of "linking pins" and the temporary work group (task force), potential alternatives to the rigid specialization and hierarchical frameworks which are found in many traditional organizations—including libraries.

Litwin, George H. and Robert A. Stringer, Jr.
Motivation and Organizational Climate. Boston: Division of Research, Graduate School of Business Administration, Harvard University, 1968.

We suggested this book to you in Module II because the authors have attempted to apply David McClelland's research to organizational behavior. We mention it again now since the major topic in this book, organizational climate, is central to what you have studied in Module V. In Chapter 5, the authors describe the questionnaire they developed for measuring organizational climate. The actual instrument and its revision are presented in the Appendices. Chapter 9, "Implications for Managers", should also be of special interest, since it suggests some concrete steps to create and control the motivational climate in an organization.

Marchant, Maurice P.
Participative Management in Academic Libraries. Westport, Connecticut: Greenwood Press, 1976.

Marchant's book is based upon a field study of staff involvement patterns in ten university libraries. The study was designed to measure the relationships between the extent of participation in university libraries and selected measures of performance. Those of you who are interested in further exploring participative management in libraries will surely want to read this book. We mention it here because Dr. Marchant has used Likert's Profile of Organizational Characteristics to measure the degree of participation on the part of librarians in the management of each library. Thus it is a good example of how Likert's instrument might be used in a library setting to obtain valuable information which should be most helpful to the library manager or supervisor.

Tagiuri, Renato and George H. Litwin, editors.
Organizational Climate: Explorations of a Concept. Boston: Division of Research, Graduate School of Business Administration, Harvard University, 1968.

In this collection of readings, the editors have assembled the writings of several authors who were pioneers in the study of organizational climate. In the first chapter, "The Concept of Organizational Climate," Professor Renato Tagiuri traces the history and development of the concept. The first section of the book includes four other essays dealing with the concept and theory; and the second part of the book deals with research on organizational climate in various settings, including industry, college and governmental environments, as well as Litwin's study with three simulated business organizations.

ORGANIZATIONAL DEVELOPMENT

READINGS

Burke, W. Warner, editor.
Current Issues and Strategies in Organization Development. New York: Behavioral Publications, 1977.

This book not only reflects the present state of the art, but describes new OD strategies and techniques as well. In addition to the overview of OD which is provided, librarians and information specialists will find the case studies of how OD is being practiced in non-profit organizations of special interest.

Fordyce, Jack K. and Raymond Weil.
Managing WITH People: A Manager's Handbook of Organization Development Methods. Reading, Massachusetts: Addison-Wesley, 1971.

Taking a very practical and logical approach, this handbook presents some practical suggestions for utilizing OD approaches and strategies in an organization. Among the 30 basic OD tools which are described are methods for finding out what's going on in the organization; for bringing about changes; for conducting better meetings; and for changing the quality of relationships. Four case studies are also included, and the authors give many examples to illustrate the methodology they suggest. The authors stress that the management of change within an organization must include the *participation* of its *members.* This little book does not pretend to be comprehensive, but it offers some sound advice for the manager who wants to know more about using OD in his or her organization.

Huse, Edgar F.

Organization Development and Change. New York: West Publishing Co., 1975.

Using a systems approach, this very readable book presents the underlying concepts and assumptions of OD in a clear and organized fashion. In twelve chapters the author covers the following topics: OD and improvement; systems and the change process; theory, values, and approaches to OD; change, planned change and action research; system-wide approaches to OD; individual/organizational interfaces; concern with personal work style; other approaches to OD; the OD practitioner; and the past, present and future of OD. In Appendix I, five readings are reprinted, and Appendix II presents ten selected case studies. Author and subject indexes are provided. This is a book you will find very helpful if you wish to explore OD further.

Likert, Rensis and Jane Gibson Likert.

New Ways of Managing Conflict. New York: McGraw-Hill, 1976.

By applying his System 4 management approach to conflict management, Likert and his co-author wife have devised a strategy enabling managers and supervisors to reduce internal and external conflict, while improving organizational performance. Effectively applying the System 4 leadership and interaction principles they present can replace "win-lose" problem solving with "win-win" results in a library or any other organization. The Likerts have clearly explained ways of implementing these principles in an organization, and provided instruments for assessing how effectively the basic principles are being applied, and to what extent conflict is being resolved, in your organization.

Lumsdon, C.A.

"Communication Within the Organization: Organizational Development, Team Making and Informal Meetings", *Aslib Proceedings*, 27:327-338, August 1975.

In this paper, the author briefly reviews the status of OD and the reasons for its increasing use as a means of dealing with change, and describes some of the OD methods that have been used effectively in many organizations. Those of you who wish to explore OD further, but do not have time to read the monographs we have cited above, might begin here. The author succintly and clearly incorporated much useful information into this presentation. Among the topics covered: characteristics of healthy and unhealthy organizations; the concept of organizational renewal; some of the underlying values of OD; and brief descriptions of some OD techniques. As this paper was originally presented at an Aslib Symposium, the discussion which followed the presentation is appended.

Tagliere, Daniel A.

"What an Executive Should Know About Organization Development", *Training and Development Journal*, 29:34-40, July 1975.

Written for the practicing manager, this breif article presents some practical suggestions for utilizing OD methods in an organization; several OD strategies are listed and very briefly described on pages 38-40. If your appetite is whetted, you can then refer to one of the books listed above for a fuller description.

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OTHER MEDIA

Conflict.
(Film) Roundtable Films, 1974. 34 minutes, sound, color, 16mm.

Conflict has become an increasingly important factor in organizational life. In Part I, "Conflict: What Causes It?", a case study approach is used to explore the major causes of conflict. In Part II, "Conflict: How to Resolve It", the advantages and disadvantages of three approaches to conflict resolution—negotiating, win-lose, and problem solving (win-win) are illustrated. The open-ended format is designed to encourage discussion and to help managers and supervisors learn to deal more effectively with conflict resolution. Also available in 3/4 inch video cassette format.

Grid Organizational Development.
(Film) University of California Extension Media Center, 1970. 35 minutes, sound, color, 16mm (Management Development Series). (EMC #7757)

This film is intended to be used as a sequel to the *Managerial Grid* (see Module IV, p. IV-24). Drs. Blake and Mouton discuss various approaches to improving organizational effectiveness, including: participation/involvement and commitment to organizational goals; conflict resolution; organizational climate and organization development; and Management by Objectives as a means of effecting participation/involvement. Available for *purchase* in all video formats.

Introducing Managers to Organizational Development—Development of Teams, Individuals, and Organizations.
(Film) University of California Extension Media Center, 1976. 55 minutes, sound, color, 16mm (Management Development Series). (EMC #9386)

Dr. Thomas Wickes, a psychologist and management consultant, presents a lecture designed to introduce managers to the OD problems they will increasingly face in the future; and to suggest the kinds of abilities they will need in order to cope with these problems. He stresses the importance of interpersonal, communicative, and motivational skills for supervisors and managers, and reviews Douglas McGregor's Theory X/Theory Y. The film concludes with a discussion of the content and processes of group behavior, and some suggestions for solving the interpersonal problems that create many organizational problems. Available for *purchase* in all video formats.

Organizational Development.
(Film) University of California Extension Media Center, 1968. 30 minutes, sound, color, 16mm (Management Development Series). (EMC #7353).

Sheldon Davis of TRW, Inc. discusses the OD approaches his company has used to create significant and lasting changes within the organization, allowing groups to become more productive and their work more meaningful. He discusses in particular, sensitivity training as a means of attaining these desired changes. Available for *purchase* in all video formats.

Organization D[illegible]ment—A Series.
(8 x 10 prep[illegible]ansparencies) Lansford Publishing Co., 1972.

This series of transparencies presents the philosophy, technology, process, basic assumptions, and models of organization development. Various approaches to organizational change are included.

Organizational Renewal Series.
(5 Films) BNA Communications, 1969. 25 minutes each, sound, color, 16mm.

Professor Gordon Lippitt, of George Washington University in Washington, D.C., discusses several topics related to organizational renewal.

- In Confrontation, Search and Coping, he comments on the problem of conflict in organizations, and the need for openness between people and groups.
- In Coping With Change, he describes how to prepare for and effect planned change, and discusses several factors that cause people to resist change as well as strategies to cope with this resistance.
- In Growth Stages of Organizations, he explains six stages of organizational growth and the key issues to be dealt with at each stage. He also discusses the conflict which may arise as various departments within the same organization vary in their stages of growth.
- In How Organization Renewal Works, he tackles some of the mechanics of the process—specifically, the need for selected managers involved in organization renewal planning to assist in the change process by serving as "internal consultants" with those groups and individuals who will be affected by planned changes.
- We mentioned the final film, Individuality and Teamwork, in Module III (p. III-26). In this film, Dr. Lippitt describes his "matrix" organization, and the needs of the individuals and groups working in such a teamwork situation. Eight factors to determine how well a group is working together are discussed, as well as other practical "how-to's" for effective interaction in organizations.

All of the above titles are also available in 3/4 inch video cassette format.

Overcoming Resistance to Change.
(Film) Roundtable Films, 1967. 30 minutes, sound, color, 16mm.

In introducing any change in the organizational setting, the supervisor may encounter employee resistance. This film dramatizes such resistance to change on the part of three employees who fear the introduction of a new machine and a move for reasons of separation from friends, status, and security. We learn, along with the supervisor involved, how to minimize the perception of change as a threat; the importance of communication; and the effectiveness of participation. The film demonstrates the importance of the supervisor's taking a positive approach in order to negotiate a change, and still provide support and leadership for his staff. Also available in 3/4 inch video cassette format.

People Don't Resist Change.
(Film) BNA Communications, 1967. 22 minutes, sound, color, 16mm.

Constant change and continuous improvement has become an organizational way of life. In this film, Allan H. Mogensen explains how to get cooperation from those who will be affected by changes in work procedures by involving them in improving their own jobs. If we do so, he suggests that we will discover that "people don't resist change". Rather, they resist *being* changed. Also available in 3/4 inch video cassette format.

War On Bureaucracy: A New Way of Looking at Organizational Development.
(Film) University of California Extension Media Center, 1974. 32 minutes, sound, color, 16mm (Management Development Series). (EMC #8875).

Sheldon Davis of TRW, Inc. presents another perspective on organizational development as he gives a chalkboard lecture describing ways in which large organizations may minimize the depersonalization often experienced by their members. He discusses several concrete steps that can be taken in areas such as work relationships; organizational rules, structure, and planning; jobs and careers; pay and benefits; work hours; and physical space. Available for *purchase* in all video formats.

STAFF DEVELOPMENT

"Staff Development": a column published monthly in *Special Libraries.*

Since July 1974, *Special Libraries* has been devoting a column in each issue to staff development. Brief annotations of articles in the literature outside of the field of librarianship that pertain to staff development are published in an attempt "to increase the number of librarians interested in staff development", and "to broaden awareness of non-library resources in the area of staff development." Since the ALA LAD PAS, Staff Development Literature Review Subcommittee, comprised of John Mayeski, Barry Ormerod, Jim Locke and Harry Liull, appear to be doing an excellent job in culling the management literature for appropriate articles, we recommend this column to you as an excellent and convenient way to stay *au courant* on this important topic.

Library Trends, volume 20, July 1971.

Reading V-6 was taken from this issue of *Library Trends* which was devoted to staff development. If you are not already familiar with the contents of this issue, we recommend it to you. Although some time has elapsed since these articles were published, many of the questions/problems raised have still to be adequately answered or solved. You should find much food for thoughtful consideration herein.

ORIENTATION

Gomersall, Earl R. and M. Scott Myers.
"Breakthrough in On-the-Job Training", *Harvard Business Review*, 44:62-78, July/August 1966.

This article provides concrete research in an extremely critical area of an organization's activities—and one that has rarely been subjected to research—the initial orientation period of the new employee. During this important period, the new employee learns what is expected of him by the organization, how he is to learn his job, and how his activities will be defined.

This study describes an orientation training period provided at the Texas Instruments Company, which was designed to reduce the anxiety of new employees by explaining exactly what the company expected, the hazing they would probably get from experienced employees, and the type of behavior to expect from their own immediate supervisor. The experiment showed that, compared to a control group, those receiving such orientation reached high production levels much sooner.

A Good Beginning.
(Film) BNA Communications, 1963. 10 minutes, sound, color, 16mm (Modern Management Series).

This film contrasts the right and wrong ways to orient and train new employees, providing some helpful insights for supervisors. Also available in 3/4 inch video cassette format.

Welcome Aboard.
(Film) Roundtable Films, 1975. 21 minutes, sound, color, 16mm.

A young supervisor who is very caught up in his day to day activities—as most of us are—unintentionally overlooks the orientation needs of a new employee. When he finds himself on a temporary training assignment in another city, he personally experiences the frustration of the unmet need for orientation. When he returns, he discovers that his new employee has resigned—and now he understands why. This film would be very helpful in pointing out to supervisors how important their role in the orientation process is in helping to meet the psychological and emotional needs of new employees. Also available in 3/4 inch video cassette format.

PERFORMANCE APPRAISAL

READINGS

Beer, Michael and Robert A. Ruh.
"Employee Growth through Performance Appraisal", *Harvard Business Review,* 54:59-66, July/August 1976.

The authors of this article helped to design and implement a Performance Management System at the Corning Glass Works, which not only facilitates the process of performance evaluation for managers, but also provides for constructive feedback for subordinates. The total system which they designed consists of three parts: MBO, performance development, and evaluation and salary review. Their article describes in detail how the system works. They describe and give examples of their performance description questionnaire; a performance profile; and the developmental matrix they use as a guide to initially consider the possible directions which personal development might take. We think you will find this article very practical and helpful.

Johnson, Marjorie.
"Performance Appraisal of Librarians–A Survey", *College and Research Libraries,* 33:359-367, September 1972.

The author undertook this study of performance appraisal of librarians in college and university libraries in the spring of 1971. All university libraries in the United States and Canada with fifteen or more librarians on the staff were sent a survey. Of these 185 libraries, 138 responded, with 95% of them indicating that some form of appraisal system was used. However, as might be expected, the methods used, as well as the frequency of appraisal, and the types of forms used (if any) varied greatly. Since this study dealt specifically with the performance appraisal of librarians, we think you will want to read the author's report of the information which was collected and summarized, as well as her conclusions and suggestions.

Lee, M. Blaine and William L. Zwerman.
"Designing a Motivating and Team Building Employee Appraisal System", *Personnel Journal,* 55:354-357, July 1976.

Since most appraisal systems evaluate an employee's performance in a particular position, rather than in relation to that individual's impact upon the total organization—or library—the authors offer some suggestions as to how you might avoid this error in designing your own performance appraisal system. The authors first delineate the essential characteristics of an appraisal system, and then present the necessary steps in designing an effective program. In the team-building approach they advocate, superior, peers, and subordinates all rate the individual in the performance areas of which they have direct knowledge. Since performance appraisal is of such vital importance to managers and supervisors (as well as subordinates) we think this brief article will be of interest to you.

McGregor, Douglas.
"An Uneasy Look At Performance Appraisal", *Harvard Business Review*, 50: 133-138, September/October 1972.

This now-classic article by Douglas McGregor was first published in the *Harvard Business Review* in 1957; it was then reprinted in 1972 with a retrospective commentary on McGregor by Warren G. Bennis. We recommended the retrospective commentary, "Chairman Mac in Perspective", to you in Module II (see p. II-26). In this article, McGregor commented on the reluctance of managers to "play God", and thus their uneasiness in undertaking conventional kinds of performance appraisal. He offered an alternative: the establishment of personal short-term objectives or goals by the subordinate, so that the individual can evaluate his or her own progress toward attaining them. Although the ideas are no longer new, McGregor's suggestions are as pertinent today as when he first wrote them, offering a means of providing greater motivation and more effective development of subordinates through performance appraisal.

Surace, Cecily J.
"The Human Side of Libraries", Santa Monica: Rand Corporation, 1968. ERIC Clearinghouse on Library and Information Sciences, January 1969. (ERIC Document 025 297).

Originally given as a short course on "Fundamentals of Company Library Management", this paper puts special emphasis on performance standards and employee evaluation. Management by Objectives and, specifically, the advantages to the library of this approach, which includes results-oriented performance appraisal, are discussed. The author demonstrates, by discussion and examples, that this performance evaluation technique can be very effective in special libraries. The reader can extrapolate to other types of libraries as well.

OTHER MEDIA

The Appraisal Interview.
(Film) Produced by Management Training, Ltd., 1972. Distributed by BNA Communications. 27 minutes, sound, color, 16mm (Interviewing Series).

This British film explores the concept of objective appraisal of job performance; demonstrates the essential role of the appraisal interview; and points out some of the performance evaluation skills which managers should and can learn. The film shows an appraisal interview taking place, and the steps that led up to it. The companion film in this two-film series, "Plant Shutdown", illustrates an interviewing technique for successfully resolving personal conflict. Also available in 3/4 inch video cassette format.

Evaluating Management Potential/Evaluating Management Accomplishment.
(Audio tape cassette) BNA Communications, 1972. 40 minutes.

Peter Drucker and John Humble informally exchange ideas about identifying management potential and assessing performance.

Nuts and Bolts of Performance Appraisal.
(Film) Creative Media, 1973. Distributed by Industrial Education Films, Inc. 32 minutes, sound, color, 16mm.

Management consultant Joe Batten discusses some specific tools of performance appraisal such as job descriptions, performance standards, specific objectives, and incident files, as well as methods for developing an effective evaluation system. He emphasizes the importance of frequent communication and feedback; of evaluators developing listening skills; and of judging *performance* rather than personality. Also available in 3/4 inch video cassette format.

Performance and Potential Review.
(Film) BNA Communications, 1970. 23 minutes, sound, color, 16mm (Management by Objectives Series).

This film explores performance appraisal in the context of MBO. It shows how the measurable targets, which are jointly set by superior and subordinate, then become the basis for evaluating performance and judging success, as well as a basis for determining the employee's potential for a new position and/or responsibilities. Also available in 3/4 inch video cassette format.

You're Coming Along Fine.
(Film) Roundtable Films, 1968. 23 minutes, sound, color, 16mm.

A dramatization which examines a manager's problems in evaluating employees' work; both in explaining unsatisfactory work or weaknesses to his staff members; and in discussing actual performance and achievement with higher management. The film stresses the need to judge potential from *performance*, and the importance of superiors and subordinates mutually establishing objectives, and then providing each other with honest feedback. Also available in 3/4 inch video cassette format.

BEHAVIOR MODIFICATION

READINGS

Hamner, W. Clay and Ellen P. Hamner.
"Behavior Modification on the Bottom Line", *Organizational Dynamics*, 4:2-21, Spring 1976.

This article explores the interrelationships among three factors: organizational climate, task performance, and the consequences of reinforcements. If the manager takes care to shape these components of behavior so that all three are positive, he has taken a big setp toward creating a motivating work climate. This article examines positive reinforcement conditioning, escape conditioning, extinction conditioning, and punishment conditioning. Six rules for using operant conditioning techniques are also suggested. The early results of positive reinforcement programs in organizations are discussed, and the article concludes with a survey of ten organizations which have used positive reinforcement programs. If you are really interested in this subject, you will find the selected bibliography on the last page very helpful.

Luthans, Fred and Robert Kreitner.
Organizational Behavior Modification. Glenview, Illinois: Scott, Foresman and Company, 1975.

Those who are interested in learning more about the techniques of behavior modification will find this book of interest. The learning theory upon which behavior modification is based is first reviewed, and then clear discussions of contingency management, reward and punishment, behavior shaping, modeling, and self-control are provided. The case histories of behavior modification's effectiveness in various work settings are especially interesting.

Schneier, Craig Eric.
"Behavior Modification in Management: A Review and Critique", *Academy of Management Journal*, 17:528-548, September 1974.

This review of the literature will be of interest to those who wish to study the research and literature upon which attempts to implement behavior modification techniques in work settings have been based. The author has categorized and summarized the management literature on the subject in four main areas: (1) research studies; (2) writings which advocate the use of behavior modification in work settings; (3) examples of how these principles have been applied in organizations; and (4) criticisms of the use of these techniques in organizations. In addition to the many articles summarized in the text, the 117 references which are appended will lead the serious student to many other sources.

OTHER MEDIA

Business, Behaviorism, and the Bottom Line.
(Film) CRM Films/McGraw-Hill Films, 1972. Distributed by McGraw-Hill Book Co., Film Division. 23 minutes, sound, color, 16mm (B.F. Skinner Film Series).

The principles used in behavior modification are based largely upon the work of B.F. Skinner, a noted and controversial behaviorist. In this film, Dr. Skinner defines such concepts as behaviorism, operant conditioning, reinforcement, and shaping. Methods for modifying employees' behavior to obtain greater productivity and/or desirable behavior are then demonstrated in actual work situations.

Rewards of Rewarding.
(Film) Roundtable Films, 1975. 24 minutes, sound, color, 16mm (Thanks A'Plenty Boss Series).

This non-sexist film (the "boss" is female) is an entertaining introduction to the principles of behavior modification. The western setting provides a change of pace (and insures that the film will not be quickly dated). Cookie, the wise, experienced ranch cook, encourages the female ranch owner and the ranch's foreman, who are out of touch with their workers' real needs, to freely give praise and approval when the men have performed well, and explains the importance of so doing. The companion film in this series, *The Correct Way of Correcting*, demonstrates how to correct employees' mistakes and give constructive criticism in a manner that will improve performance rather than engender frustration and bad feelings. Both are also available in 3/4 inch video cassette format.

OTHER

Motivation in Perspective.

(Film) BNA Communications, 1969. 20 minutes, sound, color, 16mm (Gellerman Motivation and Productivity Series).

The other films in this series have been listed and annotated in earlier modules:

Strategy for Productive Behavior (I-24)
Understanding Motivation (I-24)
Motivation Through Job Enrichment (II-30)
The Self-Motivated Achiever (II-30)
Theory X and Theory Y (II-30)
Human Nature and Organizational Realities (III-26)
The Management of Human Assets (IV-24)

The final film in this series, *Motivation in Perspective*, summarizes and contrasts the ideas expressed in the other films. Dr. Saul Gellerman identifies a common thread: that is, that the human resources of most organization—the abilities and potential of employees—are not being fully utilized. He also demonstrates how the various theories which have been presented in the other films reinforce each other, and provide a guide to action for managers.

Productivity and the Self-Fulfilling Prophecy: the Pygmalion Effect.

(Film) CRM Films/McGraw-Hill Films, 1975. Distributed by McGraw-Hill Book Co., Film Division. 31 minutes, sound, color, 16mm (Behavior in Business Film Series).

This film utilizes interviews with authorities, animated sequences, and live-action vignettes in organizational settings to demonstrate the practical applications of the Pygmalion effect—that is, the positive or negative influence that one's expectations have on others' behavior. The film illustrates how this process occurs, and demonstrates that an understanding of the power of expectation is very important to managers and supervisors, since this is a tool which can be used to benefit both the individual and the organization. Recent studies are cited showing that the fulfillment of expectations can be a crucial factor in improving both performance and productivity.

Quick, Thomas L.

Understanding People At Work: A Manager's Guide to the Behavioral Sciences. New York: Executive Enterprises Publishing Co., 1976.

This book is written for the practicing manager. It provides a simple overview of what behavioral science research and theory has contributed to the practice of management. Many of the concepts, approaches and techniques that have been discussed in this course are also included in this book.

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SOURCES OF NONPRINT MATERIAL

If the distributor of an item is different from the producer, we have attempted to indicate this. Where only the producer is listed, they distribute their products. Many of these materials may also be available locally through public, academic or other libraries. Check with your local public library system, especially as regards the availability of 16mm film titles.

BNA Communications, Inc.
A Divsion of the Bureau of National Affairs, Inc.
5615 Fishers Lane
Rockville, Maryland 20852

Industrial Education Films, Inc.
P.O. Box 398
Harwich Port, Massachusetts 02646

Lansford Publishing Company
P.O. Box 8711
1088 Lincoln Avenue
San Jose, California 95155

McGraw-Hill Book Company
Film Division
1221 Avenue of the Americas
New York, New York 10020

Roundtable Films, Inc.
113 North San Vicente Blvd.
Beverly Hills, California 90212

University of California Extension Media Center
2223 Fulton Street
Berkeley, California 94720

SELF TEST V-1: PROFILE OF ORGANIZATIONAL CHARACTERISTICS*

In completing the questionnaire, it is important that each individual answer each question as thoughtfully and frankly as possible. This is not a test; there are no right or wrong answers. The important thing is that you answer each question the way you see things or the way you feel about them.

INSTRUCTIONS

1. On the line below each *organizational variable* (item), please place an *N* at the point which, in *your experience*, describes your organization [library, department, or information/media center] at the present time (*N* = now). Treat each item as a continuous variable from the extreme at one end to that at the other.
2. In addition, please also place an *L* on each line at the point where you would *like* to have your organization [library, department, or information/media center] fall with regard to that item (*L* = like). Treat each item as a continuous variable from the extreme at one end to that at the other.

Organizational variable					*Item No.*
1. Leadership processes used					
a. Extent to which superiors have confidence and trust in subordinates	Have very little confidence and trust in subordinates	Have some confidence and trust	Have quite a bit of confidence and trust	Have a great deal of confidence and trust	1
b. Extent to which superiors behave so that subordinates feel free to discuss important things about their jobs with their immediate superior	Subordinates do not feel free to discuss things about the job with their superior	Subordinates do not feel very free to discuss things about the job with their superior; discuss things guardedly	Subordinates feel rather free to discuss things about the job with their superior but with some caution	Subordinates feel free to discuss things about the job with their superior and do so candidly	2
c. Extent to which immediate superior in solving job problems generally tries to get subordinates' ideas and opinions and make constructive use of them	Rarely gets ideas and opinions of subordinates in solving job problems	Occasionally get ideas and opinions of subordinates in solving job problems	Usually gets ideas and opinions and usually tries to make constructive use of them	Virtually always gets ideas and opinions and always tries to make constructive use of them	3
2. Character of motivational forces					
a. Kinds of attitudes developed toward organization and its goals	Attitudes are usually hostile and counter to organization's goals	Attitudes sometimes are hostile and counter to organization's goals and sometimes are favorable to the organization's goals and support the behavior necessary to achieve them	Attitudes usually are favorable and support behavior implementing organization's goals	Attitudes are strongly favorable and provide powerful stimulation to behavior implementing organization's goals	4

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PROFILE OF ORGANIZATIONAL CHARACTERISTICS *(Continued)*

Organizational variable					*Item no.*
3. Character of communication process					
a. Direction of information flow	Downward	Mostly downward	Down and up	Down, up, and with peers	5
b. Extent to which downward communications are accepted by subordinates	Viewed with great suspicion	Some accepted and some viewed with suspicion	Often accepted but, if not, may or may not be openly questioned	Generally accepted, but if not openly and candidly questioned	6
c. Accuracy of upward communication via line organization	Tends to be inaccurate	Information that boss wants to hear flows; other information is restricted and filtered	Information that boss wants to hear flows; other information limited or cautiously given	Accurate	7
4. Character of interaction-influence process					
a. Amount and character of interaction	Little interaction and always with fear and distrust	Little interaction and usually with some condescension by superiors; fear and caution by subordinates	Moderate interaction, often with fair amount of confidence and trust	Extensive, friendly interaction with high degree of confidence and trust	8
b. Amount of cooperative teamwork present to achieve organizations goals	Very little	Relatively little	A moderate amount	Very substantial amount thoughout the organization	9
5. Character of decision-making process					
a. To what extent are decisions made by superior or by group participation and consensus	By superiors (or higher levels) with practically no opportunity for comment	By superiors, but with some opportunity for reaction by lower levels	By superiors, but following discussion of problem	By group participation and usually with consensus	10
b. To what extent are decision-makers aware of problems, particularly those at lower levels in the organization?	Often are unaware or only partially aware	Aware of some, unaware of others	Moderately aware of problems	Generally quite aware of problems	11
c. To what extent are subordinates involved in decisions related to their work?	Rarely	Rarely involved in decisions; occasionally consulted	Usually consulted but ordinarily not involved in the decision-making	Are almost always involved in all decisions related to their work	12

Organizational variable					*Item no.*
d. Are decisions made at the best level in the organization so far as the motivational consequences (i.e., does the decision-making process help to create the necessary motivations in those persons who have to carry out the decisions	Decision-making contributes little or nothing to the motivation to implement the decision, usually yields adverse motivation	Decision-making contributes relatively little motivation	Some contribution by decision-making to motivation to implement	Substantial contribution by decision-making processes to motivation to implement	13
6. Character of goal-setting or ordering					
a. Manner in which usually done	Orders issued	Orders issued, opportunity to comment may or may not exist	Except in emergencies, goals are set or orders issued after discussion with subordinates of problems and planned action	Except in emergencies, goals are established by means of group participation	14
b. Are there forces to accept, resist, or reject goals?	Goals are overtly accepted but are covertly resisted strongly	Goals are overtly accepted but often covertly resisted to at least a moderate degree	Goals are overtly accepted but at times with some covert resistance	Goals are fully accepted both overtly and covertly	15
7. Character of control processes					
a. At what hierarchical levels in organization does major or primary concern exist with regard to the performance of the control function?	At the very top only	Primarily or largely at the top	Primarily at the top but some shared feeling of responsibility at middle and to a lesser extent at lower levels	Concern for performance of control functions likely to be felt throughout organization	16
b. Extent to which the review and control functions are concentrated	Highly concentrated in top management	Relatively highly concentrated, with some delegated control to middle and lower levels	Moderate downward delegation of review and control processes; lower as well as higher levels perform these tasks	Review and control done at all levels, with lower units at times imposing more rigorous reviews and tighter controls than top management	17
c. Extent to which control data (e.g., accounting, productivity, cost, etc.) are used for self-guidance or group problem-solving by managers and non-supervisory employees; or used by superiors in a punitive, policing manner	Used for policing and in punitive manner	Used for policing coupled with reward and punishment, sometimes punitively. Used somewhat for guidance but in accord with orders	Used for policing with emphasis usually on reward but with some punishment. Used for guidance in accord with orders. Some use also for self-guidance.	Used for self-guidance and for coordinated problem-solving and guidance. Not used punitively.	18

SELF TEST V-2: An Assessment of the Staff Development Program in Your Library or Information Center.*

DIRECTIONS: This simple assessment is designed to encourage you to give some thought to the major components of a staff development program as they exist in your library or information center. For each of the items, circle the alternative which most closely characterizes your present organization. After you have completed the assessment, total your points and record your score in the box below.

	ONE POINT	THREE POINTS	FIVE POINTS
1. Does your library or information center have a systematic orientation program for all new employees which emphasizes organizational goals, the interrelationship of activities and programs, and overall library policy in addition to the more obvious components of an orientation, such as a brief tour and a few introductions on the first day?	A brief tour and introductions during the first few days.	Some attention is given to the broader concerns such as goals and objectives, library policy, and organizational interrelationships during the early period of employment.	A thorough orientation program is given to all individuals, which is customized according the individual's role in the organization.
2. Does your library or information center have a planned training program for each employee who joins the system which recognizes most of the important factors in effective training? (e.g., logical training)	Minimum attention is given to training each individual and the primary focus is on the absolute necessities for performing the job.	Although it varies, there is some attempt to give everyone a systematic on-the-job training experience.	Carefully and regularly planned training programs exist for all positions.
3. Does your library or information center conduct regularly scheduled performance appraisals or progress reviews with its employees? Are these used on all levels of management? Do these reviews include a patient and understanding look at the individual's career in such a way that his personal objectives are reconciled with the organization's objectives? Or are the reviews used merely to point out a person's weaknesses and to determine possible salary increases?	No performance review program is conducted.	Infrequent performance appraisals are not regularly scheduled.	Regularly scheduled performance appraisals conducted with careful and thorough career review.
4. Do most of the managers and supervisors in your library or information center assume that staff members should regard it as a privilege to be employed by the library and that any other attitude is a lack of loyalty? Or is it considered a fundamental responsibility of the organization to arrange the conditions of employment so that the individuals on all levels are self-motivated?	The individual should do his best under whatever conditions and without complaining.	Some concern is shown regarding motivational climate, but it is infrequent and sporadic.	Management is constantly concerned with optimizing the conditions for motivating all levels of personnel.
5. Does your library or information center have a comprehensive staff development program that is supported by your administrators and supervisors and is it regularly reviewed?	No program at all.	Have a so-called program, but it is not used systematically.	An up-to-date management development program is alertly implemented.
6. Does your library or information center recognize the need to periodically examine the organization, its structure, and its functions? And does such an examination result in the use of various projects such as organization development and job enrichment?	No evidence of such recognition or concern.	Sporadic concern for studying the organization.	Library or information center is alert to organizational needs; many projects are used.
7. Does your library or information center tend to depend just on special events such as parties, picnics, and social occasions to motivate people?	Uses only occasional special events and celebrations.	Uses many special events, but not much more.	Uses special events, but these are incidental to the overall motivation program.

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*Adapted and expanded from "The Management Motivation Rating Questionnaire" developed by Dr. Theodore A. Jackson, *Industry Week*, 182: 22-23, July 22, 1974. Used with permission.

8. Does your library or information center use job rotation as a means of maintaining optimal motivation in key personnel?	Job rotation not used.	Job rotation used only to broaden an individual's knowledge and experience.	Job rotation used both for broadening experience and for maintenance or renewal of motivation.
9. Does your library or information center use special assignments as a means of stimulating interest and renewing the attitudes of key people?	Special assignments are not used for this purpose.	Special assignments are rarely used for this purpose.	Special assignments are frequently used for this purpose.
10. The exit interview is an excellent way of determining the type of climate that is present in a library or information center. When key personnel quit, does the supervisor and/or manager meet with the individual to find out the real reason for his leaving, or is this usually handled routinely by a middle-level person in the personnel department?	No exit interview is held.	Exit interview is handled as a formality.	Full, serious attention is given by the supervisor and/or manager.

TOTAL POINTS = ☐

Name ______________________________

EXERCISE V-1

Directions:

1. Reread Case Study IV-1 on pages IV-18—IV-20.
2. Read Case Study V-1 on pages V-22—V-23.
3. Assume that you have accepted the position as a replacement for Anne X or David B (indicate which one at the beginning of your answer to the first question) and answer the following questions using the space provided below and additional paper if necessary.
4. When completed to your satisfaction, be sure to make a copy for your records. Then place the original in an envelope and mail it for review by your Faculty Evaluator to:

Motivation: A Vital Force in the Organization
CLENE Home Study Project
P.O. Box 1228
620 Michigan Avenue, N.E.
Washington, DC 20064

Question 1: Based upon what you can surmise from the two cases studies about your new department, speculate upon the organizational climate you would find in your chosen department (RELATE IT TO THE MODELS PRESENTED BY LIKERT OR STRINGER AND LITWIN).

(over)

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Question 2: Briefly describe the climate you would like to see develop.

Question 3: In outline form, indicate the strategy you would follow in order to achieve this desired climate. Include in this strategy:

(1) Technique(s) and approach(es)
(2) Rationale for your strategy
(3) Problems you might expect to encounter.

Name ______________________________
Optional

EVALUATION OF MODULE V

Now that you have completed this module, we would appreciate having your reactions and critical comments. Please answer the questions below and feel free to make additional comments. If more space is needed, continue on the back of this page. Please mail to:

Motivation: A Vital Force in the Organization
CLENE Home Study Project
P. O. Box 1228
620 Michigan Avenue, N.E.
Washington, DC 20064

1. All things considered, how would you rate this module?

1	2	3	4
excellent	good	mediocre	poor

2. Were the directions and the instructions included throughout the module sufficient?

1	2	3	4
ample	sufficient	minimally sufficient	insufficient

3. Was the material presented in a logical form?

1	2	3	4
very logical	reasonably logical	minimally logical	illogical

4. Was there a sufficient variety of activities?

1	2	3	4
ample variety	sufficient	minimally sufficient	insufficient

5. Did the module contain the right amount of material?

1	2	3	4
too much	just right	about right	too little

6. What was the best thing about this module?

7. What was the worst thing about this module?

8. How many hours did you spend completing this module? __________ hours

Additional Comments:

FINAL EXAMINATION

Motivation: A Vital Force in the Organization

DIRECTIONS: Please answer each of the four questions below. You will need to use additional paper, so please be sure to put your *name* at the top of the sheets you return. Please note that the various parts of most of these questions can be answered in a few sentences. When you have completed the four questions, please mail your answers to:

Motivation: A Vital Force in the Organization
CLENE Home Study Project
P.O. Box 1228
620 Michigan Avenue, N.E.
Washington, DC 20064

I. *Briefly* describe and illustrate how a system of Management by Objectives would accomodate each of the human needs as defined by Maslow. (Your *brief* answers should demonstrate your understanding of the needs in a work setting as well as the components of MBO).

(a) Physiological Needs

(b) Safety, Security Needs

(c) Belonging or Membership Needs

(d) Esteem Needs

(e) Self-Actualization Needs

II. Below are listed three (3) approaches to performance appraisal. Briefly describe how each would be applied by an extreme Theory X and Theory Y Manager.

	Theory X Manager	Theory Y Manager
(a) Rating Scales		
(b) Critical Incident		
(c) Management by Results or Performance Standards		

(over)

III. Below are listed the Subsystems (components) of an organization as presented in Module I. Suggest how each should be addressed in your orientation, training & development program. (Your *brief* answers should demonstrate your understanding of the components of an organization and their implications for training and development).

(a) Goals and Values Subsystem

(b) Technical Subsystem

(c) Structural Subsystem

(d) Psychosocial Subsystem

(e) Managerial Subsystem

IV. You have decided to strive toward a management style in your organization comparable to a *Team Management Style* (9,9) as characterized by Blake and Mouton in their Managerial Grid®. Discuss how your effort would attempt to accomodate the three needs of individuals as characterized and analyzed by McClelland and others, namely:

(a) Need for Affiliation

(b) Need for Achievement

(c) Need for Power

Motivation: A Vital Force in the Organization

A HOME-BASED STUDY COURSE FOR LIBRARY/MEDIA/INFORMATION SCIENCE PERSONNEL

Module V:
Creating A Motivational Climate in the Organization

Readings for Module V

Produced by:

The Continuing Library Education Network and Exchange [CLENE]
P.O. Box 1228
620 Michigan Avenue, N.E.
Washington, DC 20064

This work has been prepared under contract with the U.S. Office of Education, Program for Library Research and Demonstration under Title II-B, Higher Education Act, as amended.

Contents*

READING V-1

"Organizational Development" 1

Gene E. Burton

From: *Management World*, 5:30-32, February 1976; 5:32-35, March 1976; 5:33-35, April 1976.

READING V-2

"Staff Development and Evaluation: the OD Point of View" 9

Miquel Mendiville and W. Bernard Lukenbill

From: *School Media Quarterly*, 3:307-315, Summer 1975.

READING V-3

"Make Performance Appraisal Relevant" 18

Winston Oberg

From: *Harvard Business Review*, 50:61-67, January-February 1972.

READING V-4

"Motivation Through Positive Stroking" 25

Thomas C. Clary

From: *Public Personnel Management*, 2:113-117, March 1973.

READING V-5

"Leadership Development of the Library Staff" 30

Marshall Fels

From: *News Notes of California Libraries*, 64:320-325, Spring 1969.

READING V-6

"Guidelines to the Development of Human Resources in Libraries: Rationale, Policies, Programs and Recommendations" 33

Guidelines Subcommittee of the Staff Development Committee, Personnel Administration Section, Library Administration Division, American Library Association

From: *Library Trends*, 20:97-117, July, 1971.

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ORGANIZATIONAL DEVELOPMENT: WHAT IS IT?

By Gene E. Burton

Gene E. Burton, "Organizational Development," Reprinted from *Management World*, 5:30-32, February 1976; 5:32-35, March 1976; 5:33-35, April with permission from the Administrative Management Society, Willow Grove, Pennsylvania.

Editor's note: With advancing technology and numerous government regulations bringing about a state of constant change, an integral factor in a company's survival is how management chooses to meet such change. An increasingly popular technique, organizational development (OD) promises to be one of the most effective tools that management can utilize.

However, so much has been promised by the practitioners of OD intervention strategies that the specific nature of this technique has become somewhat misunderstood. This article is the first in a series of three articles by Gene E. Burton, Assistant Professor at the College of Business, Appalachian State University, Boone, North Carolina, that will review the objectives, characteristics, and processes of OD.

Too often, the term OD is used only to refer to sensitivity training or similar programs by which workers may be brought to a greater awareness of self and others. A broader definition of OD is offered by W. W. Burke and W. H. Schmidt in an article in *Personnel Administration* (March, 1971) entitled "Management and Organizational Development":

"Using knowledge and techniques from the behavioral sciences, organizational development (OD) is a process which attempts to increase organizational effectiveness by integrating individual desires for growth and development with organizational goals. Typically, this process is a planned change effort which involves a total system over a period of time, and these changes are related to the organization's mission."

The above definition covers such OD approaches as participative management, job enlargement, management by objectives, and profit-sharing plans. In addition to this, the concept of an OD system must also emphasize the individual's learning process based upon the dynamics of change. For example, consider another definition by A. Winn from his study, "The Laboratory Approach to Organizational Development: A Tentative Model of Planned Change":

"The term 'organization development' . . . implies a normative, re-education strategy intended to affect systems of beliefs, values and attitudes within the organization so that it can adapt better to the accelerated rate of change in technology, in our industrial environment and society in general. It also includes formal organizational restructuring which is frequently initiated, facilitated and reinforced by the normative and behavioral changes."

Assumptions About OD

In order to clearly define the concept of OD, certain underlying assumptions should be clarified. First of all, what is an organization? Most authors agree that an organization provides those special conditions and relationships that are necessary for any social institution to achieve objectives in accordance with some preconceived plan. Such organizational relationships must be designed with an understanding of human behavior and group dynamics which, of course, are constantly changing. As the attitudes and needs of individuals and work groups change over time, institutions must make certain organizational modifications to provide for these evolutionary changes.

In this manner, every era tends to develop an organizational form that is unique to that period of time. Because of certain social and technological changes, it becomes necessary for institutions to revitalize and rebuild organizational relationships. Most experts agree that the only viable way to change an organization is to change its "culture"—that is, the basic systems within which individuals work and live. Thus, each member of the organization is brought to new levels of both "self-awareness" and "social awareness." Understanding one's own motivations and behavioral patterns is essential to successful interpersonal relationships. It is often useful to view worker behavioral patterns, as well as individuals' attitudes toward work itself, as "reactions" to the total job environment, the manner in which workers perceive the overall organizational climate. According to J. J. Sherwood in an article in *The 1972 Annual Handbook for Group Facilitators* entitled "An Introduction to Organization Development," programs designed to alter worker attitudes should not focus on changing the worker, but should concentrate on modifying the manner in which the organization treats the worker.

Of course, the development of new methods for dealing with workers may require a drastic change in institutional and managerial attitudes with respect to work and workers. In effect, such changes in attitudes affects everyone in the organization, as it is a highly personal process. Managers need to become more sensitive to the idea that most people prefer challenging work and would like responsibility for accomplishing institutional goals to which they are personally committed. However, personal involvement is possible only when the work has been organized to meet the needs of the worker, work groups, and the total organization.

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It is also important to note the difference between "agreement" and "commitment." Employees can become totally committed only to those goals and concepts which they have helped to establish. If organizational change is required, it will be effective only if those people who are involved can share some sense of belonging to the process. Thus, commitment is achieved when there is active employee participation in both the change decision and the change process. Agreement, on the other hand, according to J. J. Sherwood, is easier to achieve but results only in people doing passively as they are told, and nothing more.

While individuals are the keys to the change process, the work groups of the organization are also important elements in the conduct of change. It is within the confines of the group that the individual must find successful personal interactions

every OD program should first strive to increase the level of trust and support among individuals

and satisfaction of personal needs. Such involves openness, trust, and free communication with feedback within the group in order for the individual to be committed to group or organizational objectives. It is too bad that many organizational climates tend to inhibit the expression of individual ideas and emotions, which, in turn, limits organizational effectiveness and personal growth.

Objectives of OD

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Although the specific objectives of an OD system may be customized to fit the needs of any given organization, several objectives are typical of most cases, reflecting environmental problems that are common to most organizations (W. French, "Organizational Development Objectives, Assumptions, and Strategies," *California Management Review*, Winter, 1969). First, every OD intervention plan should strive to increase the level of trust and support among individuals and groups throughout the organization. Similarly, OD programs should result in more open communications—laterally, vertically, and diagonally—cutting across conventional formal lines of communication. Feedback through open, two-way channels is necessary if each individual and each group is to have a clear understanding of performance objectives and progress evaluations.

OD interventions should attempt to create an openness toward problem-solving by increasing the confronting of organizational problems, both within groups and among groups. Open confrontation is certainly preferred to "smoothing things over" or to "sweeping nasty problems under a rug." At the same time, it is best to locate the responsibilities for decision-making and problem-solving as close to the action and the source of information as possible. Too often, such authority is placed in some traditional hierarchical position that is actually far removed from the situation as well as relevant information sources. Thus, the organizational climate should permit authority to be assigned to those with the pertinent knowledge and skill.

Another objective of OD is to increase the sense of ownership of organizational goals on the part of all members of the organization through participative management techniques. The pride of ownership can lead to increased personal enthusiasm, commitment, and satisfaction for all workers. By taking part in the planning, implementation, and accomplishment of organizational objectives, individuals also gain a greater sense of responsibility.

OD strategies can also take greater advantage of open, healthy competition, which can be openly managed to benefit the total organization without resulting in subversive rivalry. The objective of the OD program should be to bring organizational units together to collaborate in problem-solving. Such a working relationship results in all parties gaining more through managed conflict and cooperation than through unmanaged, destructive conflict.

Finally, a primary objective of OD is to help people become more aware of group workings and their effects on ultimate performance. In other words, groups and group members must recognize the relationships between goal achievement and such interpersonal factors as culture, attitudes, feelings, need structures, communication, leadership styles, conflict, and organizational climate.

OD As A Process

OD can be considered as a *managed process*, based on behavioral science, to improve organizational effectiveness. Once organizational problems have been identified, OD intervention strategies, such as team building, management by objectives, sensitivity training, etc., may be implemented in order to produce the desired organizational changes. OD programs should not be treated as isolated elements applied in a shotgun manner. Rather they should be combined and coordinated to assure positive results through a total effort of all organizational units. In effect, OD techniques should be viewed as a total system of interrelated management practices and concepts that build, one on the other, to maximize organizational performance and individual satisfaction.

It is essential that OD not be treated as some management panacea that may be substituted for good business sense and practice. There are no cut-and-dried OD principles that can be applied to most organizational problems in a "cookbook" fashion. On the other hand, every organization has its own unique problems that demand customized OD processes. Thus, the basic concept of OD should not be oversimplified, nor should OD practices be implemented without thorough analyses and preparation by those skilled in OD techniques. Unfortunately, OD does not usually produce instant success or fast solutions to complex problems. Like most worthwhile management tools, OD programs require a considerable degree of time and effort before real payoffs can be realized. Even then, the practitioner must recognize that many of the desired outcomes of OD strategies cannot be adequately or precisely measured so that costs can be compared objectively with benefits.

In conclusion, OD is a way of thinking. It is an action-oriented concept that maximizes the effective use of resources by creating the best possible conditions for encouraging a total organizational commitment to excellence. OD attacks the barriers to human capabilities and performance on the job. It encourages people to do as well as they are capable of doing.

Next month, in the second part of this series, the author will analyze the OD process within the context of an OD systems model.

ORGANIZATION DEVELOPMENT- A SYSTEMATIC PROCESS

By Gene E. Burton

Editor's note: This is the second article of a three-part series examining the nature, processes and strategies of organization development (OD) by Gene E. Burton, Assistant Professor of the College of Business, Appalachian State University, Boone, North Carolina.

Last month, in the first part of this series entitled "Organization Development—What Is It?", the author provided an introduction to OD—its objectives and characteristics. This month's article will clarify the complex issues of OD by analyzing the OD process within the context of an OD systems model.

In summarizing last month's article, organization development is a long-range program of planned change based on an objective diagnosis of organizational problems. The primary objective of OD is to bring about a system of organizational renewal that can effectively cope with environment changes. In doing so, OD strives to maximize organizational effectiveness as well as individual work satisfaction. According to J. J. Sherwood in an article in *The 1972 Annual Handbook for Group Facilitators* entitled "An Introduction to Organization Development," OD is an intervention strategy. By intervening in an organization's ongoing activities, OD facilitates learning and thus creates an organizational climate that is open to new techniques. Such techniques are designed to improve the organization's decision-making capabilities.

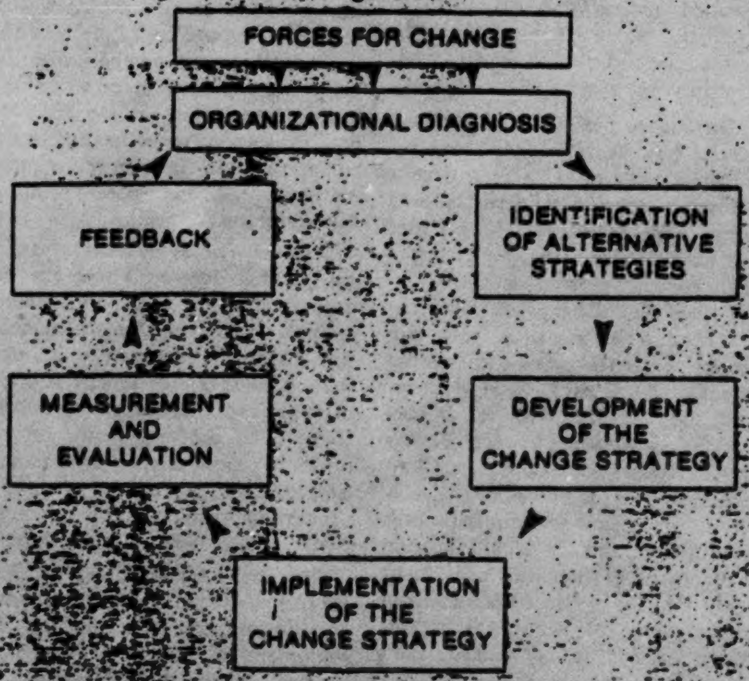
Characteristics Of OD

Change is at the heart of the OD process. However, the changes sought are those which are directly connected to real organizational problems. Custom-tailored OD programs may be applied to specific problems of certain organizations. Furthermore, planned organizational change requires an educational strategy that emphasizes experience through learning, focusing on beliefs, attitudes, values, and subsequently, behavior.

Thus group participation and personal involvement become important, brought about by open, multidirectional communications and a problem-solving climate based on openness and trust. Through this

A MODEL OF THE ORGANIZATION DEVELOPMENT PROCESS*

Figure 1


FORCES FOR CHANGE
ORGANIZATIONAL DIAGNOSIS
FEEDBACK
IDENTIFICATION OF ALTERNATIVE STRATEGIES
MEASUREMENT AND EVALUATION
DEVELOPMENT OF THE CHANGE STRATEGY
IMPLEMENTATION OF THE CHANGE STRATEGY

*This model was developed utilizing some of the concepts introduced by Gibson, Ivancevich, and Donnelly and by The Conference Board, Inc., *Organizational Development: A Reconnaissance*, New York, 1973.

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OD is concerned with identifying ailments of sick organizations

process, individuals can more clearly understand their own behavior and that of group processes, as well as the consequences of such on total performance. OD is a controlled, action-oriented process, managed as a concerted long-range effort to provide a dynamic and adaptable program for coping with the changing needs of the total organization (W. G. Bennis, *Organization Development: Its Nature, Origins and Prospects*, Addison-Wesley Publishing Company, Reading, Mass., 1969, also W. French, "Organizational Development Objectives, Assumptions, and Strategies," *California Management Review*, Winter, 1969).

The OD Process

For the purposes of this analysis, OD may best be considered as a:

managed
(planned, systematic, with feed back)
process
(system, matrix, strategy)
behavioral science to
improve
(change, optimize)
organizational effectiveness
(proact, solve problems, realize objectives, maximize productivity, improve profits).

The essence of OD, as defined above, may best be illustrated by analyzing the total OD system as a process of specific elements, shown by the model in Figure 1. The model consists of seven steps, logically sequenced, and defined as such:

Forces For Change—Forces for change may be classified into two groups: external forces and internal forces (J. L. Gibson, J. M. Ivancevich, and J. H. Donnelly, Jr., *Organizations: Structure, Process, Behavior*, Business Publications, Inc., Dallas, Texas, 1973, pp. 345-347). External forces emerge from the larger environment and are usually beyond the control of the individual manager. On the other hand, internal forces come from within the organization and can usually be controlled by management.

External Forces—In a free economy, the marketplace serves as an arena in which the business firm must operate in terms of the dynamic forces of supply and demand. These forces, in the form of competitors, consumers, creditors, suppliers, stockholders, and labor, each exert its own unique set of demands upon the individual firm. Those businesses that cannot cope and adapt to these changing demands simply do not survive.

Another set of external forces can be seen in the form of technology. The current knowledge explosion has rendered many products and methods obsolete in providing for the development of the new. New materials, new machines, and new processes have combined with computer technology and automation to revolutionize nearly every business function. Failure to adapt to new technology may be fatal.

Still other external forces develop as a result of social and political change. The emerging issues of social equality, rising expectations with respect to the quality of life, and the importance placed on the individual bring increasing pressures on the business enterprise in the form of new legislation, governmental agency intervention, consumerism, economic boycott, and public pressures for social responsibility.

Internal Forces—The forces for change that develop within the organization often result from miscommunication and breakdown in decision-making. The organization may well be the scene for a maze of interpersonal and interdepartmental conflicts. Such conflicts result in behavioral problems such as absenteeism, turnover, and slow-downs, or in process problems involving functional breakdowns in operations.

Organizational Diagnosis—OD is concerned with identifying ailments of sick organizations and the development of programs to promote healthy organizations. Performed by either internal or external OD specialists, the diagnosis involves various techniques and instruments used to measure such factors as organizational climate, management style, employee attitudes, and job satisfaction. Although there is no magic formula for precise organizational diagnosis, the following questions, developed by Gibson, Ivancevich and Donnelly, are usually applied to each stage of the diagnostic process:

1. What is the problem? (taking care to differentiate between the problem and the symptoms of the problem)
2. What needs to be changed in order to resolve the problem?
3. What outcomes (objectives) are expected to result from the change and how can these outcomes be measured? (using specific, quantitative measures where possible)

Identification Of Alternative Strategies—The third step in the OD model requires identifying those alternative courses of action that are most likely to achieve the desired outcome(s). The most commonly used strategies include sensitivity training, job enrichment, team building, confrontation meetings, management by objectives, third party facilitation, etc. However, it is important that strategies be selected based on their potential to resolve the specific problem(s) in question.

Development Of The Change Strategy—The fourth stage in the OD process considers each of the alternative strategies identified in the previous stage. Special consideration must be given to the unique limiting factors in the situation, such as available resources, time limitations, leadership style, and organizational climate.

The most promising alternative(s) should be selected based on the principle of maximizing expected returns to the organization or by some recognized principle of dealing with uncertainty (maximin, maximax, and minimax principles).

Implementation Of The Change Strategy—The ultimate success of any change strategy that is implemented will probably depend upon the factors of scope and timing. Success demands that the receptivity and commitment of key people be assessed prior to any pre-change activities. The state of the total organization, concerning its capacity to develop and to incorporate more advanced stages of growth, must also be predetermined. The wise practitioner will delay initiating any OD strategy until the organization is ready to effectively accept alternative methods of operation.

Implementation must also provide for those resources needed to assure sustained change efforts. Adequate measurement benchmarks need to be established so the OD process can be continually evaluated and re-directed to achieve the desired objectives. OD strategies must also be based upon real organizational needs, as determined and planned by joint efforts of line and staff personnel. Effective change results are also more likely to be achieved when the OD strategy is carried out by those who can best influence the change process and who are also most directly affected by the implementation actions (The Conference Board, Inc. and Gibson; Ivancevich and Donnelly).

Measurement And Evaluation—Measurement and evaluation of results are essential features in any systematic model of the OD process. Measurement of the change strategy's effectiveness depends upon the accuracy of the original diagnosis, and also determines whether the strategy accomplished the desired objectives.

Warren Bennis proposes the following four-step model for evaluating the OD strategy:

1. *Are the learning goals of the OD strategy appropriate to the target system?* If not, stop and reconsider the appropriateness of organization development. If yes, then:
2. *Is the cultural state of the client system prepared for organization development; i.e.*
   a. Degree and type of value conflict?
   b. Legitimacy of interpersonal phenomena?
   c. Degree, range, intensity, resolution of conflict?
   d. Concepts of control, authority?
   e. Interdependence of client system?
   f. Relationship of trust and confidence between change agent and client system?

   If not, stop and examine areas where more preparation is needed or where value conflicts should be reduced. If yes, then:
3. *Are key people involved and committed?* If not, stop and examine ways of developing more commitment to the program. If yes, then:
4. *Are members of the clients system adequately prepared and oriented to organization development?* If not, stop and examine ways to develop more commitment to the program.

Feedback—The findings from the measurement and evaluation stage must be fed back to the organizational units involved in order to alter problem definitions and strategies as required. In this manner, the OD program becomes a continuous circular process that can cope with the dynamics of a changing world, and not a one-shot project within the confines of a static organization.

In summary, change has become the single greatest threat to the survival of today's social institution. The current social-technical revolution has rendered many organizational systems obsolete. OD interventional strategies, designed to help institutions cope with the dynamics of change, can best be implemented when treated as a complete OD management system. The OD systems model suggested in this article represents a conceptual framework. It also provides a systematic process for the proper management of the complex OD programs, for both the present and the future.

Next month, in the third and last part of this series, author Gene E. Burton will review the OD process and analyze OD strategies that have proven to be successful instruments of planned change.

ORGANIZATION DEVELOPMENT-REVIEWING CHANGE STRATEGIES

By Gene E. Burton

Editor's note: This is the last article in a three-part series examining the nature, processes and strategies of organization development (OD), by Gene E. Burton, Assistant Professor of the College of Business, Appalachian State University, Boone, North Carolina.

In the first part of this series in February's Management World, *"Organization Development—What Is It?", the author reviewed the nature and objectives of OD. Last month, in the second part, "Organization Development—A Systematic Process," the complex issues of OD were clarified by the author through an analysis of the OD process using an OD systems model.*

In this month's concluding article, the author will review the OD process once again, and analyze specific OD strategies that have proven to be successful instruments of planned change.

Organization development (OD) is a program of educational strategy designed to alter the attitudes and values of people. It is also aimed at rebuilding the structural and interpersonal relationships within organizations so that the latter can cope with current revolution of socio-technological change. Furthermore, OD is a planned intervention into the organization's processes, utilizing a growing number of OD strategies. The purpose of this article is to review the myriad of OD intervention structures that have been used successfully by OD practitioners.[*]

Planned meetings can be used for such conventional purposes as the collecting and disseminating of information. However, planned meetings may also be designed with specific seating arrangements and special formats designed to promote feelings of mutual respect and cooperation. For instance, classroom-type meetings tend to promote teacher-student understanding, while round-table meetings tend to foster peer attitudes.

Brainstorming is an unstructured, interactive group technique designed to generate ideas and to promote group problem-solving. Given a specific problem, the group is encouraged to shotgun ideas in a free-wheeling style without criticism. Taking one idea and building on it is also recommended.

The Gordon technique is a similar to brainstorming, except that the group is not aware of the specific problem under consideration. For instance, if the objective is to develop better ways of "dehydrating" food, the group might be asked to develop ideas for the "preservation" which might, in turn, shed new insight into the specific problem in question.

Nominal grouping is a highly-structured group technique designed to keep personal interactions at a minimum, thus reducing the inhibiting effects of interacting groups. Nominal grouping has proven to be very successful, especially in idea-generation, and in achieving more lasting personal involvement in problem-solving.

The Delphi technique is a group decision-making technique that is adaptable to situations in which group members are unable to meet in face-to-face interactions. The Delphi method is particularly effective at the systematic collection of summarized information and the integration of opinion feedback.

Goal-setting and planning meetings utilize subordinate-supervisor pairs or teams in an organization-wide program to develop systematic goal-setting and performance im-

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[*] Such structures are drawn from the following references: J. K. Fordyce and R. Weil, *Managing With People*, Addison-Wesley Publishing Co., Reading, Mass. 1971; J. J. Sherwood, "An Introduction to Organization Development," *The 1972 Annual Handbook for Group Facilitators*, University Associates, Iowa City, Iowa, 1972; and D. A. Tagliere, "What an Executive Should Know About Organization Development," *Training and Development Journal*, July, 1975, pp. 34–40.

mbo is perhaps the best known technique for integrated planning, goal-setting, and performance evaluation

provement. This program is based upon mutual commitment and review. The long-range objective is to make goal-setting and goal achievement a way of life within the whole organization.

Management By Objectives (MBO) is perhaps the best known technique for integrated planning, goal-setting, and performance evaluation. Its major strength lies in the establishment of specific, measurable performance criteria. Such criteria integrates the goals of the individual, the work group, and the total organization.

Confrontation goal-setting meetings are designed to collect information and to establish organizational goals. Sub-groups develop ideas for change which are then shared and discussed in the total group. After the intergroup confrontation, the group again divides into sub-groups and each sub-group sets priorities and finalizes its ideas. Finally, the total group reconvenes to hear sub-group recommendations. Following discussion of each presentation, a decision with respect to each proposal is then made.

Team building is a process which helps group members bring out their feelings and to identify both interpersonal and organizational roadblocks which prevent the team from functioning as a creative whole. Leadership and interpersonal relationships improve as members develop skills in communication, openness, trust, empathy, and conflict management. The identification and solution of group problems also improve as members learn to alter work procedures and decision-making procedures so that leadership is shared by the total group.

Intergroup merging is designed to aid members of merged groups to integrate their activities by identifying new power relationships, behavior norms, performance standards, and the functional expectations of all group members.

Intergroup problem-solving brings groups together in order to cut down unhealthy competition and intergroup conflicts resulting from unclear lines of command and overlapping responsibilities. Thus, interdependence, when appropriate, is encouraged and developed.

Confrontation meetings are designed to solve "known" problems, using an action-research method. Problems are not "swept under the rug," but are shared and discussed, priorities are established, and commitments are made for conflict resolution. Task forces are often organized to coordinate corrective actions.

Conflict resolution techniques help conflicting individuals or groups to release their feelings and attitudes about one another. In dealing with these feelings openly, divisive conflict is resolved and cooperative behavior is promoted.

Analyzing Orgs is a technique which helps individuals to recognize their leadership styles relating to the task structure in different work situations. Individuals learn how to modify their leadership or subordinate styles so they can be more compatible with the group and its organizational goals.

Motivational factor analysis utilizes attitude surveys to identify the satisfying and dissatisfying elements which affect certain individuals and work groups. Once these motivators and demotivators have been identified, plans can be made to meet specific needs and to promote greater job satisfaction, harmony, and productivity.

Norm modification studies behavioral norms within the organization, norms being those unwritten rules which govern individual and group behavior and attitudes. Norms may not necessarily be compatible with the organization's official policies. If negative norms, such as "no one starts to work on time around here," are found, they should be eliminated and replaced by positive norms such as "everyone here puts in a full day's work."

Force field analysis is used to study a situation which needs to be changed. Any situation is assumed to be in equilibrium with the forces acting to change the situation, the situation being equal to the forces acting to keep it the same. Once the relevant forces have been identified, they can be altered as needed to affect the desired change.

Feedback, generated through interpersonal communication, can be used to help individuals become more sensitive to their own feelings and to the effect these individuals have on the feelings and behavior of others. Open feedback from others can help the individual to grow and develop a clearer understanding of interpersonal relationships.

The organization mirror is a technique whereby an organizational unit uses feedback from a number of key organizations with which it relates, such as customers and suppliers, in order to better understand the threats and opportunities involved in the organization's environment. Plans can then be made to alter certain organizational activities for improvement in products, services, profitability, etc.

Future shock absorbing helps members of the organization to develop the proper attitude and skills necessary to accomodate major changes in the work situation, such as new equipment, new procedures, or new power structures.

Management development programs may be custom-tailored to meet a variety of training needs for the development of those management skills which are required for both personal and organizational growth.

Life/career planning is designed to help the individual plan short-range and long-range goals for his/her own life and career. The technique aids the individual in identifying personal strengths, weaknesses, opportunities, threats, etc., in sufficient detail so that specific and positive steps can be taken to promote personal growth and development. Such programs tend to strengthen the bonds between the individual and the organization.

Training can be used in a variety of ways to strengthen the OD process which is itself based on learning and change. Systematic training can promote the attitudes and skills necessary to bring about needed changes. The more common learning devices are lecture, discussions, conferences, seminars, and case studies. On-the-job training has the advantage of placing the worker in "real" job situations in order to more effectively promote changes in attitudes, skills, and knowledge. Another method, role-playing, provides for active participation in which the individual plays some role in a case situation. In addition, sensitivity training (t-groups) is a useful method for increasing one's awareness of self and his/her impact on others. Transactional Analysis (TA) is yet another technique, which helps the individual identify the ego state for himself/herself and for others, promoting a greater sensitivity with respect to interpersonal relations.

Multiple management uses peer-level problems on an informal basis and to open new communication channels.

Matrix structures are those working groups which cut horizontally and diagonally across the traditional pyramid-structured organization. Sometimes called task forces, product teams, and project teams, matrix structures bring together selected people from various functions and different hierarchical levels. Together, they form a relatively autonomous group to perform a specific task or to solve a specific problem.

Communications systems analysis is a technique for studying organizational communication networks, both formal and informal. In order to influence the change process, the formal system may have to be modified. Similarly, the informal system can be used to reduce conflict and to promote cooperation.

Program Evaluation and Review Technique (PERT) is a successful tool for planning, scheduling, and controlling complex work assignments. By detailing the interdependence of all the people and organizational units involved in the task, PERT can be used to promote cooperative action among these people and groups.

Planning programming budgeting system is a useful technique for planning, controlling, and evaluating a group of related operational tasks.

Third party facilitation utilizes a skilled third person (usually an OD consultant) to help resolve organizational and interpersonal problems, especially difficult one-to-one conflicts that exist between two people or two groups.

Consulting pairs is a situation in which a manager can benefit from a close, ongoing relationship with a person outside his/her own formal organization with whom problems can be shared and discussed.

The OD whitepaper can be prepared by top management to reflect the overall intent and design of the total OD program. The white paper sets the direction for the change process and encourages all employees to contribute to the overall OD efforts.

OD team development is a technique for identifying those people within the organization who demonstrate an inclination towards OD processes. These individuals are further trained and molded into a cooperative team for the implementation and support of the total OD effort.

Summary

OD is a process for planned change which relies heavily on educational learning. It demands individual commitment and involved participation in here-and-now problems. OD is not a bag of tricks nor is it a shotgun approach to organizational problems. Instead, OD is a coordinated package of change strategies that should be carefully and selectively developed to meet the unique needs of the organization in question. A specific situational philosophy is needed for each organizational situation to determine the proper mix of OD strategies to be used.

Miguel Mendiville and W. Bernard Lukenbill, "Staff Development and Evaluation: the OD Point of View," *School Media Quarterly*, 3:307-315, Summer 1975. Reprinted by permission of the American Association of School Librarians, American Library Association, © 1975.

STAFF DEVELOPMENT AND EVALUATION: THE OD POINT OF VIEW

MIGUEL MENDIVILLE
and
W. BERNARD LUKENBILL

When we think of staff development and evaluation, we think of maximum growth where all members of a staff exploit themselves to their fullest positive potential and where such self-exploitation naturally leads to increased efficiency and effectiveness of an organization. When individuals within such organizations reach their potential, they see that they have contributed to increasing the overall enhancement of the organization and consequently come to enjoy a certain amount of personal worth and self-esteem.

Whereas traditionally we have tended to look at staff development and evaluation in a negative sense—as being told what was wrong or right with us and as processes which often lead to punitive or repressive measures—staff development and evaluation, if used properly, can and should be a growth mechanism.

As an alternative to traditional methods of staff evaluation and development, Organization Development (OD), the name given to a new, emerging applied behavioral science discipline, seeks to improve organizations through systematic long-range change efforts on an organization's atmosphere and its human and social processes. As a substitute for traditional evaluation, it has the distinct advantage of being a much more constructive approach to both evaluation and development. It is less threatening and judgmental, yet in the same process, it can improve an organization's efficiency and effectiveness.

When OD is introduced into systems or organizations, referred to as *clients*, the process is called *intervention*. This intervention process is usually conducted by an outside expert, called an *OD practitioner*, who has training in OD intervention techniques or technology. The intervention process itself is a positive force in which the OD practitioner helps the organization, his client, gather and analyze data about its internal human and social processes.

The applicability of OD to school media management and services on the building, system, or regional levels is apparent. For example, every building-level media specialist operates within a specific management style which influences how his supervisors or subordinates respond to him. Undoubtedly, almost every school media center staff has evolved individualized work patterns which contain elements of politics, competitiveness, and bureaucracy. Every media center has a psychological element which affects both the staff and client relationships; and every media staff must at one time or another face the problems of adapting to change, whether it be in the form of changing neighborhood or a school population, altered budgets, or the introduction of new technology. Indeed, every media center has a communication-influence pattern which may or may not work for the good of the whole media center program. Through Organization Development intervention, many of these problems can be identified, diagnosed, and solved with planning and action based on data generated from within the actual organizational setting.

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> . . . Organization Development (OD), the name given to a new, emerging applied behavioral science discipline, seeks to improve organizations through systematic long-range change efforts on an organization's atmosphere and its human and social processes.

THEORETICAL FOUNDATIONS OF ORGANIZATION DEVELOPMENT

The theoretical foundations for OD can be traced back to the 1920s with the beginning of research work into group processes and group dynamics. Probably the two most significant contributors to the conceptual field of Organization Development were W. R. Bion and Kurt Lewin.[1] Bion's analysis of small groups, largely from a psychiatric point of view, has added greatly to the OD practitioner's understanding of the mental and emotional processes and climate of groups. Bion's writings have especially influenced organizational theorists who support the sociotechnical systems theory of organization.[2] This theory emphasizes workflow and people association. Lewin's influence is also evident in the works of such authorities as Cris Argyris, R. Lawrence, J. Lorsch, and R. Likert. Lewin, through his field-theory approach, provided an approach for problem solving and for implementing planned change efforts around a diversified range of groups and organizational issues.

Field theory, as it originated in the sciences, and as it was adapted by Lewin, implies that a given event or condition in the here-and-now is influenced or altered by the interaction of events and conditions on that given condition in the immediate past. Field theory as it came to be applied to OD implies that changes for better or worse in the level of interpersonal climate in a system will not occur as long as both restraining forces and driving forces at work in the immediate field of that system remain stabilized. In other words, change cannot come about in the system until the current stabilizing pattern is broken by some kind of intervention. In relating this concept to the school media environment, we might cite the example of a certain school media specialist who perceives his role as an integral part of the overall teaching team within a school and consequently patterns his behavior according to this perception; but on the other hand, teachers within the school may perceive the role of this same media specialist as simply supportive and that of a resource person without expertise enough to actively participate in instruction within the school setting. They, in turn, model their responses and behavior toward the media specialist in light of this perception. Consequently, the environmental setting or field becomes charged with emotion because people are acting on role perceptions not acceptable or understood by others within the environmental setting. As long as these two field forces represented by the different role perceptions and behavior patterns on the part of the media specialist and teachers continue, then the system, in this case the school media program or instructional program, will exist in a stabilized pattern with no change in the resolution of the role conflict. Change will only come about when intervention is brought about to fundamentally change for better or worse the role and behavior patterns of either one or both of the parties. The Lewin field-theory conception actually laid the foundation for action research which calls for intervention for change in ongoing organizational processes and which is the essence of Organization Development.[3]

CHARACTERISTICS OF ORGANIZATION DEVELOPMENT

Organization Development can be characterized in several different ways: as a process, as a form of applied behavioral science, as a normative change, as an experience-based learning mode, as a strategy emphasizing goal setting and planning, and as concentrating on work teams as the primary instruments for organization improvement.

To explain, as an ongoing interactive process, OD is an identifiable flow of interrelated events moving over a period of time toward a specific goal. The identifiable flow of interrelated events is defined as the interventions, or the positive involvement of the OD specialist in the client system, and the responses to those intervention techniques by the client body. The essential point to remember when viewing OD as a process is that it is a dynamic, moving, changing phenomenon. It is in this light that staff development can be seen as a process of "becoming," of approaching some objective or goal without ever reaching those goals and thus creating a static situation once again. This means that the nature of OD implies that it is not a one-shot solution to staff problems but a growing toward greater efficiency. This, in turn, may lead to problems in that staffs may want and expect immediate results and may become discouraged when these outcomes are not immediately forthcoming.

Because OD is also a form of applied behavioral science, it applies scientific and practical principles from social psychology, social anthropology, sociology, psychiatry, economics, and political science to the intervention process. In other words, Organization Development simply is the translation of what is known about people and organizations as found in the behavioral sciences into applicable programs of action. Organizational Development then becomes both a result and a form of applied behavioral science.

Organizational Development as a normative change implies doing things differently and better and this means changing some of the features of the organization in question. Usually, these features are the organizational processes and the organizational culture. To some people, "change" is a defense-provoking word; to others, change is a panacea for all problems. Change, when it is desired by those who will be affected by it, opens up alternatives of action rather than closing off alternatives. Organization Development is not interested in changing people's values about religion, politics, marriage, the nation, and so forth. Among other things, it is interested in changing people's values and understanding in the direction of belief in the worth of the individual, and the belief that participation in decisions promotes feelings of self-worth. Put another way, Organization Development is a response to change, dealing with the beliefs, attitudes, values, and structure of the organization so that it can better adapt to new technologies, new markets, new challenges, and the tremendous rate of change which affects any organization.

> **. . . Organization Development simply is the translation of what is known about people and organizations as found in the behavioral sciences into applicable programs of action.**

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Organization Development is experience based. The experience-based nature of the OD process is derived from an underlying belief that people learn how to do things by doing them. People learn about organizational dynamics by experiencing them and reflecting on those experiences. When people are engaged in real experiences, they are engaged with their minds, emotions, and their whole beings. There are no artificial separations engendered, for example, by memorizing something so that at a future time one may act in a certain way. Experience-based learning calls not only for exposure to an experience but also for reflection about that experience. Reflecting on the experience is necessary so that people can learn and generalize about the phenomena. This constant questioning and reflecting is itself related to the goal of increasing people's ability to learn how to learn.

Goal setting and planning also are important features of the Organization Development process. The OD process has goals, specifically those of improving in various ways the functioning of any organization, and indeed one of the ways the OD program facilitates organization improvement is by emphasizing the importance of goals and planning. Within the intervention process, this is done by the OD specialist's structuring learning activities designed to improve goal setting and planning skills. A healthy organization tends to display goal setting at all levels. It is believed that wider participation in goal setting leads to a greater utilization of an organization's resources, human and technical, and results in significantly better plans. Plans that have been the contribution of many people at all levels of the organization probably have more chances of being realistic and attainable and also have some built-in support for carrying them out. The goal setting and planning techniques used in the intervention process concentrate on the following major skills and abilities: (1) learning to set goals and objectives; (2) learning to translate goals into actions and procedures for achieving them; and (3) learning how to plan and make decisions to facilitate the attainment of goals.

As outlined earlier, another fundamental belief in Organization Development is that the organization does its work through teams of various kinds. Relative to this is the fundamental belief that changing the culture or traits, processes, relationships, and ways of performing tasks within these teams is a way to achieve permanent and lasting improvement in the organization. Individual behavior is rooted in the sociocultural norms and values of the work team. If the work team as a unit changes its norms and values, the effect on individual behavior within that team is immediate and lasting. Because the work team is essentially the source of most of an individual's knowledge about organizational processes, such as communication, decision making, and goal setting, and because many of an individual's needs such as social interaction, status, recognition, and respect are satisfied by his work group consisting of both peers and superiors, its correct functioning is fundamental to the health of the parent organization.

ASSUMPTIONS AND VALUES IN STAFF DEVELOPMENT

Some important underlying assumptions and values in staff development include the following:

1. The most psychologically relevant reference group for most people is the work group. Most people wish to be accepted and to interact cooperatively with at least one small reference group.
2. For a group to optimize its effectiveness, the formal leader cannot perform all leadership and maintenance functions in all circumstances at all times. Responsibilities and duties need to be delegated throughout the work team or work group.
3. Suppressed feelings adversely affect problem solving, personal growth, and job satisfaction.
4. The level of interpersonal trust, support, and cooperation is low in most groups and organizations.
5. Solutions to most attitudinal and motivational problems in organizations are transactional. This means that problems have the greatest chance of constructive solution if all parties in the system or subsystem alter their mutual relationships.

STAFF DEVELOPMENT

Staff development must naturally concern itself with training in interpersonal group membership skills. This is important because of the crucial interdependencies within the organization. An individual is constantly interacting with many people above, below, and alongside him in order to carry out his responsibilities. This kind of training in group skills requires the person to develop his capacity to give and to receive help, to communicate and listen effectively, and to deal with people and organizational problems. In order for him to do this, an essential part of the process is the crucial examining of his own theories and his own assumptions about people, organization, and management.

Staff development through the OD process includes several points:

1. The total organization, all subparts, and individuals manage their work

in accordance with the goals and plans for achievement of the overall objectives of the system.

2. Form follows function. This means that the problem or task determines how human resources are organized.
3. Decisions are made by and near the sources of information, regardless of where these sources are located on the organization chart.
4. The reward system is such that managers and supervisors are rewarded and punished comparably for (a) production performance and (b) the growth and development of their subordinates which contribute to a viable working group.
5. Communication laterally and vertically is relatively undistorted. People are generally open and confronting; they share all the relevant facts, including feelings.
6. There is a minimum amount of inappropriate win-lose activities between individuals and groups. Constant effort exists at all levels to treat conflict and conflict situations as problems which are subject to problem-solving methods.
7. There is a high "conflict" (clash of ideas) about tasks and projects and relatively little energy in clashing over interpersonal difficulties because generally they have been worked through.
8. The organization and its parts see themselves as interacting with each other and with a larger environment. The organization is an "open system."
9. There is a shared value in the organization and a management strategy to support it, trying to help each person or unit in the organization to maintain integrity and uniqueness in an interdependent environment.
10. The organization and its members are "action-research" oriented, building in feedback mechanisms so that individuals and groups can learn from their own experiences.

APPLICATION OF ORGANIZATION DEVELOPMENT

Increasingly, OD functions are being identified by an enlightened management that recognizes the need for study of the organization's processes. They acknowledge the validity of a body of behavioral science knowledge relevant to the daily activities of the organization and thus to staff development and evaluation. Although OD projects have often occurred because of some fortuitous circumstance, there exists an increasingly scientific body of knowledge which can provide guidance on how to operationalize OD projects. The references and bibliography at the end of this article cite some of the more significant contributors to this knowledge base, such as Lewin, Bion, and Argyris.

Ideally, the total organization is the major unit of which the OD activity is a part. The assumption is that the entire system should be considered insofar as possible when diagnosing any needs that would lead to change programs. Change in one part of the system directly or indirectly affects the constituent parts. Total-system-change programs can, therefore, obtain optimum collaboration, mutual reinforcement, and efficiency. Nevertheless, limited social change contracts or projects in contrast to long, complex organization-wide activities are increasingly receiving more attention from OD practitioners. As a microsystem within a larger school organization, the school media programs at either the building or system level can logically function as the subject of a limited OD intervention contract.

A careful study of communication within an organization (e.g., the school media program)—its patterns, openness/closedness, and effectiveness in achieving objectives—often reveals symptoms that affect job performance. This is associated with interpersonal relations among supervisors, subordinates, and peers. OD programs designed to improve communication can exercise a profound change on the perceptions people have regarding themselves and others. For example, an OD limited contract program

> **OD programs designed to improve communication can exercise a profound change on the perceptions people have regarding themselves and others.**

of this type within a school media program or center would attempt to map out the realities of the work climate and help the group to identify and achieve realistic alternatives for the mutual benefit of all concerned.

OD is concerned with the outcomes or end results of organizational processes. Management (e.g., head media specialists, district level supervisors) exercises a degree of power and influence over the course and direction in which any organization moves. The feelings of the individuals comprising the organization also have a definite effect on how management decisions are implemented. The observable patterns of behavior throughout the organization (i.e., media program) are indexes of the relative health or sickness of the organization. All of these interacting factors can be observed and analyzed in order to determine the effectiveness of the total organization in accomplishing its goals. The existent philosophy and its resultant practices have a definite impact on the way an organization functions.

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PROBLEMS OF ORGANIZATION DEVELOPMENT IN SCHOOL ENVIRONMENTS

Despite OD's more positive attributes, its acceptance as a model within educational environments and institutions presents some problems which must be considered. For example, Schmuck and Miles contend that schools, to a greater extent than industrial organizations, suffer from ambiguity and diversity of goals, often leading to conflicting situations between school and community as well as difficulties in the actual measuring of goal attainment. These authors comment both upon actual measuring of goal attainment and on what seems to be schools' "low-interdependent system." By this, they mean that roles in schools are minimally differentiated, barely integrated, and are executed beyond the range of colleague support and sanction.[4] For example, according to this view, it is often difficult to differentiate each role as teacher, principal, counselor, and media specialist when viewed from the larger instructional context. Yet as these individuals operationalize their roles, they do so independently of each other and sheltered from the view of other professionals in the privacy of their classrooms, offices, or media centers. The school is also highly susceptible to the short-term demands of its environment and, because of its noncompetitiveness, it tends to underinvest in research and development and respond nonadaptively (defensively and laggingly) to long-run changes in its cultural, social, and intellectual environment.[5]

Further, according to Miles and Sieber, the individualistic nature which characterizes the teacher's role within the school environment actually encourages an "acollaborative" position among faculty. For example, because hierarchical organization complexity is not usually found at the building level, administrators and teachers operating at this level tend to deal with each other individually and on an informal one-to-one basis. Problems and actions are seldom hammered out in the context of group meetings where decisions are made with input from all members. Such one-to-one behavior actually creates on a larger staff base an avoidance of coordination and collaboration, necessary ingredients of OD.[6] Another

> **. . . schools, to a greater extent than industrial organizations, suffer from ambiguity and diversity of goals, often leading to conflicting situations between school and community as well as difficulties in the actual measuring of goal attainment.**

aspect which may hinder OD's development in school environments is the assertion, voiced by Blumberg and Schmuck but not based on extensive empirical data, that collaborative decision making and open, frank problem solving on the part of the school staff, which again are characteristic of Organization Development programs, are hampered by the dependent, submissive nature of teachers. Because of this characteristic, such individuals have difficulty in dealing with situations in which influence, decision making, and confrontation problem solving are required and expected.[7] Still another important factor to consider in discussing the hindrances to OD's movement into schools is the restriction on staff time which results from having to care for and teach children.[8]

Assuming that the roles of teachers are as individualized as both Miles and Sieber would have us believe, it would appear that Organization Development has the potential for increasing interdependence and sharing among school faculties and thus can do much to release a great deal of creative energy.[9] Many of the above comments about the individualized role of teachers and media specialists may reflect a traditional and even outdated concept of the teacher. It seems likely that the open-school approach to education with its team approach to planning and instruction makes many of these statements open to question. At any rate, through the open-school approach, education has given us a model and a philosophy which is extremely susceptible to the accommodation of OD. Because the media specialist has traditionally claimed a central position in the school environmental structure, and because this claim to a central position is further reinforced by the open-school concept, it would appear that, theoretically, the school media specialist is in an excellent position to assume a leading role in facilitating growth within school environments.

Unfortunately, there are problems with this proposition. First, it is evident that a clear change-agent model for school media specialists to follow is lacking. Although much has been said in the literature about change and innovation in relation to school media specialists, a clear, assertive model has yet to evolve. Perhaps an OD change-agent model featuring the media specialist as an OD interventionist will facilitate this movement. Another problem which currently impedes the development of such a model is the almost total lack of training programs necessary for the proper execution of such a role. It goes without saying that a successful OD interventionist must be well grounded in both the theory and practice of group dynamics and processes. Yet few library schools offer such training.

> **. . . a successful OD interventionist must be well grounded in both the theory and practice of group dynamics and processes. Yet few library schools offer such training.**

The time and expense involved are additional problems possibly impeding the acceptance of the OD model. As mentioned previously, Organization Development is not a quick process. It requires a great deal of time, training, and determination on the part of both OD practitioner and clients. Its very nature, calling for change through interaction, means that frustrations are inevitable. Although some empirical data about such activities in school environments are available, these data can only be considered exploratory evidence. Little, if any, data addressed to the effects of OD intervention in school media centers currently exist to offer us guidance.

Assuming that OD will eventually become a part of school media center organizational management, it will undoubtedly incorporate what seems to be the future trend of OD in that problem-solving techniques rather than personal attitude changes will be featured. As stated earlier, limited social change contracts or projects in place of long, complex organization-wide activities will receive the primary attention of the OD interventionist.

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LEARNING TO APPLY ORGANIZATION DEVELOPMENT TECHNOLOGY

It would seem that a major question to ask at this point is how should an individual media specialist become familiar with the technology of OD. Reading is the first step, and the bibliography at the end of this article offers basic suggestions. The Center for the Advanced Study of Educational Administration at the University of Oregon has been active in Organization Development in schools and many of its documents and studies are available through the ERIC system. Another approach which seems worthwhile is to attend workshops on interpersonal relations and group processes. Many technologies used in these sessions have OD application. Then, of course, there are special workshops which are conducted by reputable firms which specialize in training people in OD intervention techniques. The National Training Laboratories in Washington, D.C., and University Associates, La Jolla, California, have extensive Organization Development programs. Even after brief exposure to Organization Development technology, the novice can introduce many of these techniques into the local media center environment. For example, useful techniques at this level would certainly include nonthreatening exercises designed to build trust and cooperation and to improve problem-solving skills among the total staff.

CONCLUSION

Although the use of the OD process may be filled with many questions, Organization Development deserves the attention of school media personnel. It offers a new and promising approach to the whole problem of staff development and evaluation for school media programs. Its strengths lie in its constructive, open approach to both individual and program actuation.

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5. Ibid.
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7. Arthur Blumberg and Richard A. Schmuck, "Barriers to Training in Organizational Development for Schools," *Educational Technology* (in press); as quoted in Schmuck and Miles, *Organization Development*, p.17.
8. Ibid.
9. Ibid.

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Winston Oberg, "Make Performance Appraisal Relevant", *Harvard Business Review*, 50:61-67, January-February 1972. Copyright © 1971 by the President and Fellows of Harvard College; all rights reserved.

Winston Oberg

Make performance appraisal relevant

This management tool appears to be here to stay; the question is, how can it be tailored for better results?

Foreword

The author's position is that performance appraisal programs can be made considerably more effective if management will fit practice to purpose when setting goals and selecting appraisal techniques to achieve them. He presents a catalog of the strengths and weaknesses of nine of these techniques, then he shows how they can be used singly and in combination with different performance appraisal objectives. He maintains that if management will undertake this matching effort, many familiar pitfalls of appraisal programs can be avoided.

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These frequently voiced goals of performance appraisal programs underscore the importance of such programs to any ongoing business organization:

- Help or prod supervisors to observe their subordinates more closely and to do a better coaching job.
- Motivate employees by providing feedback on how they are doing.
- Provide back-up data for management decisions concerning merit increases, transfers, dismissals, and so on.
- Improve organization development by identifying people with promotion potential and pinpointing development needs.
- Establish a research and reference base for personnel decisions.

It has been estimated that over three fourths of U.S. companies now have performance appraisal programs.[1]

In actual practice, however, formal performance appraisal programs have often yielded unsatisfactory and disappointing results, as the growing body of critical literature attests.[2] Some critics even suggest that we abandon performance appraisal as a lost hope, and they point to scores of problems and pitfalls as evidence.

But considering the potential of appraisal programs, the issue should not be whether to scrap them; rather, it should be how to make them better. I have found that one reason for failures is that companies often select indiscriminately from the wide battery of available performance appraisal techniques without really thinking about which particular technique is best suited to a particular appraisal objective.

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[1] See W.R. Spriegel and Edwin W. Mumma, *Merit Rating of Supervisors and Executives* (Austin, Bureau of Business Research, University of Texas, 1961); and Richard V. Miller, "Merit Rating in Industry: A Survey of Current Practices and Problems," ILR Research, Fall 1959.

[2] See, for example, Douglas McGregor, "An Uneasy Look at Performance Appraisal," HBR May-June 1957, p. 89; Paul H. Thompson and Gene W. Dalton, "Performance Appraisals: Managers Beware," HBR January-February 1970, p. 149; and Albert W. Schrader, "Let's Abolish the Annual Performance Review," *Management of Personnel Quarterly*, Fall 1969, p. 293.

For example, the most commonly used appraisal techniques include:

1. Essay appraisal.
2. Graphic rating scale.
3. Field review.
4. Forced-choice rating.
5. Critical incident appraisal.
6. Management-by-objectives approach.
7. Work-standards approach.
8. Ranking methods.
9. Assessment centers.

Each of these has its own combination of strengths and weaknesses, and none is able to achieve all of the purposes for which management institutes performance appraisal systems. Nor is any one technique able to evade all of the pitfalls. The best anyone can hope to do is to match an appropriate appraisal method to a particular performance appraisal goal.

In this article, I shall attempt to lay the groundwork for such a matching effort. First, I shall review some familiar pitfalls in appraisal programs; then, against this background, I shall assess the strengths and weaknesses of the nine commonly used appraisal techniques. In the last section, I shall match the organizational objectives listed at the outset of this article with the techniques best suited to achieving them.

Some common pitfalls

Obstacles to the success of formal performance appraisal programs should be familiar to most managers, either from painful personal experience or from the growing body of critical literature. Here are the most troublesome and frequently cited drawbacks:

☐ Performance appraisal programs demand too much from supervisors. Formal performance appraisals obviously require at least periodic supervisor observation of subordinates' performance. However, the typical first-line supervisor can hardly know, in a very adequate way, just what each of 20, 30, or more subordinates is doing.

☐ Standards and ratings tend to vary widely and, often, unfairly. Some raters are tough, others are lenient. Some departments have highly competent people, others have less competent people. Consequently, employees subject to less competition or lenient ratings can receive higher appraisals than equally competent or superior associates.

☐ Personal values and bias can replace organizational standards. An appraiser may not lack standards, but the standards he uses are sometimes the wrong ones. For example, unfairly low ratings may be given to valued subordinates so they will not be promoted out of the rater's department. More often, however, outright bias dictates favored treatment for some employees.

☐ Because of lack of communication, employees may not know how they are rated. The standards by which employees think they are being judged are sometimes different from those their superiors actually use. No performance appraisal system can be very effective for management decisions, organization development, or any other purpose until the people being appraised know what is expected of them and by what criteria they are being judged.

☐ Appraisal techniques tend to be used as performance panaceas. If a worker lacks the basic ability or has not been given the necessary training for his job, it is neither reasonable to try to stimulate adequate performance through performance appraisals, nor fair to base salary, dismissal, or other negative decisions on such an appraisal. No appraisal program can substitute for sound selection, placement, and training programs. Poor performance represents someone else's failure.

☐ In many cases, the validity of ratings is reduced by supervisory resistance to making the ratings. Rather than confront their less effective subordinates with negative ratings, negative feedback in appraisal interviews, and below-average salary increases, supervisors often take the more comfortable way out and give average or above-average ratings to inferior performers.

☐ Performance appraisal ratings can boomerang when communicated to employees. Negative feedback (i.e., criticism) not only fails to motivate the typical employee, but also can cause him to perform worse.[3] Only those employees who have a high degree of self-esteem appear to be stimulated by criticism to improve their performance.

☐ Performance appraisals interfere with the more constructive coaching relationship that should exist between a superior and his subordinates. Performance appraisal interviews tend to emphasize the superior position of the supervisor by placing him in the role of judge, thus countering his equally important role of teacher and coach. This is particularly damaging in organizations that are attempting to maintain a more participative organizational climate.

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[3] See Herbert H. Meyer, Emanuel Kay, and John R.P. French, Jr., "Split Roles in Performance Appraisal," HBR January-February 1965, p. 123.

A look at methods

The foregoing list of major program pitfalls represents a formidable challenge, even considering the available battery of appraisal techniques. But attempting to avoid these pitfalls by doing away with appraisals themselves is like trying to solve the problems of life by committing suicide. The more logical task is to identify those appraisal practices that are (a) most likely to achieve a particular objective and (b) least vulnerable to the obstacles already discussed.

Before relating the specific techniques to the goals of performance appraisal stated at the outset of the article, I shall briefly review each, taking them more or less in an order of increasing complexity. The best-known techniques will be treated most briefly.

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1. Essay appraisal

In its simplest form, this technique asks the rater to write a paragraph or more covering an individual's strengths, weaknesses, potential, and so on. In most selection situations, particularly those involving professional, sales, or managerial positions, essay appraisals from former employers, teachers, or associates carry significant weight. The assumption seems to be that an honest and informed statement—either by word of mouth or in writing—from someone who knows a man well, is fully as valid as more formal and more complicated methods.

The biggest drawback to essay appraisals is their variability in length and content. Moreover, since different essays touch on different aspects of a man's performance or personal qualifications, essay ratings are difficult to combine or compare. For comparability, some type of more formal method, like the graphic rating scale, is desirable.

2. Graphic rating scale

This technique may not yield the depth of an essay appraisal, but it is more consistent and reliable. Typically, a graphic scale assesses a person on the quality and quantity of his work (is he outstanding, above average, average, or unsatisfactory?) and on a variety of other factors that vary with the job but usually include personal traits like reliability and cooperation. It may also include specific performance items like oral and written communication.

The graphic scale has come under frequent attack, but remains the most widely used rating method. In a classic comparison between the "old-fashioned" graphic scale and the much more sophisticated forced-choice technique, the former proved to be fully as valid as the best of the forced-choice forms, and better than most of them.[4] It is also cheaper to develop and more acceptable to raters than the forced-choice form. For many purposes there is no need to use anything more complicated than a graphic scale supplemented by a few essay questions.

3. Field review

When there is reason to suspect rater bias, when some raters appear to be using higher standards than others, or when comparability of ratings is essential, essay or graphic ratings are often combined with a systematic review process. The field review is one of several techniques for doing this. A member of the personnel or central administrative staff meets with small groups of raters from each supervisory unit and goes over each employee's rating with them to (a) identify areas of inter-rater disagreement, (b) help the group arrive at a consensus, and (c) determine that each rater conceives the standards similarly.

This group-judgment technique tends to be more fair and more valid than individual ratings and permits the central staff to develop an awareness of the varying degrees of leniency or severity—as well as bias—exhibited by raters in different departments. On the negative side, the process is very time consuming.

4. Forced-choice rating

Like the field review, this technique was developed to reduce bias and establish objective standards of comparison between individuals, but it does not involve the intervention of a third party. Although there are many variations of this method, the most common one asks raters to choose from among groups of statements those which *best* fit the individual being rated and those which *least* fit him. The statements are then weighted or scored, very much the way a psychological test is scored. People with high scores are, by definition, the better employees; those with low scores are the poorer ones. Since the rater does not know what the scoring weights for each statement are, in theory at least, he cannot play favorites. He simply describes his people, and someone in the personnel department applies the scoring weights to determine who gets the best rating.

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[4] James Berkshire and Richard Highland, "Forced-Choice Performance Rating on a Methodological Study," *Personnel Psychology*, Autumn 1953, p. 355.

The rationale behind this technique is difficult to fault. It is the same rationale used in developing selection test batteries. In practice, however, the forced-choice method tends to irritate raters, who feel they are not being trusted. They want to say openly how they rate someone and not be second-guessed or tricked into making "honest" appraisals.

A few clever raters have even found ways to beat the system. When they want to give average employee Harry Smith a high rating, they simply describe the best employee they know. If the best employee is Elliott Jones, they describe Jones on Smith's forced-choice form. Thus, Smith gets a good rating and hopefully a raise.

An additional drawback is the difficulty and cost of developing forms. Consequently, the technique is usually limited to middle- and lower-management levels where the jobs are sufficiently similar to make standard or common forms feasible.

Finally, forced-choice forms tend to be of little value—and probably have a negative effect—when used in performance appraisal interviews.

5. Critical incident appraisal

The discussion of ratings with employees has, in many companies, proved to be a traumatic experience for supervisors. Some have learned from bitter experience what General Electric later documented; people who receive honest but negative feedback are typically not motivated to do better—and often do worse—after the appraisal interview.[8] Consequently, supervisors tend to avoid such interviews, or if forced to hold them, avoid giving negative ratings when the ratings have to be shown to the employee.

One stumbling block has no doubt been the unsatisfactory rating form used. Typically, these are graphic scales that often include rather vague traits like initiative, cooperativeness, reliability, and even personality. Discussing these with an employee can be difficult.

The critical incident technique looks like a natural to some people for performance review interviews, because it gives a supervisor actual, factual incidents to discuss with an employee. Supervisors are asked to keep a record, a "little black book," on each employee and to record actual incidents of positive or negative behavior. For example:

Bob Mitchell, who has been rated as somewhat unreliable, fails to meet several deadlines during the appraisal period. His supervisor makes a note of these incidents and is now prepared with hard, factual data:

"Bob, I rated you down on reliability because, on three different occasions over the last two months, you told me you would do something and you didn't do it. You remember six weeks ago when I. . . ."

Instead of arguing over traits, the discussion now deals with actual behavior. Possibly, Bob has misunderstood the supervisor or has good reasons for his apparent "unreliability." If so, he now has an opportunity to respond. His performance, not his personality, is being criticized. He knows specifically how to perform differently if he wants to be rated higher the next time. Of course, Bob might feel the supervisor was using unfairly high standards in evaluating his performance. But at least he would know just what those standards are.

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There are, however, several drawbacks to this approach. It requires that supervisors jot down incidents on a daily or, at the very least, a weekly basis. This can become a chore. Furthermore, the critical incident rating technique need not, but may, cause a supervisor to delay feedback to employees. And it is hardly desirable to wait six months or a year to confront an employee with a misdeed or mistake.

Finally, the supervisor sets the standards. If they seem unfair to a subordinate, might he not be more motivated if he at least has some say in setting, or at least agreeing to, the standards against which he is judged?

6. Management by objectives

To avoid, or to deal with, the feeling that they are being judged by unfairly high standards, employees in some organizations are being asked to set—or help set—their own performance goals. Within the past five or six years, MBO has become something of a fad and is so familiar to most managers that I will not dwell on it here.

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[8] Meyer, Kay, and French, op. cit.

It should be noted, however, that when MBO is applied at lower organizational levels, employees do not always want to be involved in their own goal setting. As Arthur N. Turner and Paul R. Lawrence discovered, many do not want self-direction or autonomy.[6] As a result, more coercive variations of MBO are becoming increasingly common, and some critics see MBO drifting into a kind of manipulative form of management in which pseudo-participation substitutes for the real thing. Employees are consulted, but management ends up imposing its standards and its objectives.[7]

Some organizations, therefore, are introducing a work-standards approach to goal setting in which the goals are openly set by management. In fact, there appears to be something of a vogue in the setting of such work standards in white-collar and service areas.

7. Work-standards approach

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Instead of asking employees to set their own performance goals, many organizations set measured daily work standards. In short, the work-standards technique establishes work and staffing targets aimed at improving productivity. When realistically used, it can make possible an objective and accurate appraisal of the work of employees and supervisors.

To be effective, the standards must be visible and fair. Hence a good deal of time is spent observing employees on the job, simplifying and improving the job where possible, and attempting to arrive at realistic output standards.

It is not clear, in every case, that work standards have been integrated with an organization's performance appraisal program. However, since the work-standards program provides each employee with a more or less complete set of his job duties, it would seem only natural that supervisors will eventually relate performance appraisal and interview comments to these duties. I would expect this to happen increasingly where work standards exist. The use of work standards should make performance interviews less threatening than the use of personal, more subjective standards alone.

The most serious drawback appears to be the problem of comparability. If people are evaluated on different standards, how can the ratings be brought together for comparison purposes when decisions have to be made on promotions or on salary increases? For these purposes some form of ranking is necessary.

8. Ranking methods

For comparative purposes, particularly when it is necessary to compare people who work for different supervisors, individual statements, ratings, or appraisal forms are not particularly useful. Instead, it is necessary to recognize that comparisons involve an overall subjective judgment to which a host of additional facts and impressions must somehow be added. There is no single form or way to do this.

Comparing people in different units for the purpose of, say, choosing a service supervisor or determining the relative size of salary increases for different supervisors, requires subjective judgment, not statistics. The best approach appears to be a ranking technique involving pooled judgment. The two most effective methods are alternation ranking and paired comparison ranking.

Alternation ranking: In this method, the names of employees are listed on the left-hand side of a sheet of paper—preferably in random order. If the rankings are for salary purposes, a supervisor is asked to choose the "most valuable" employee on the list, cross his name off, and put it at the top of the column on the right-hand side of the sheet. Next, he selects the "least valuable" employee on the list, crosses his name off, and puts it at the bottom of the right-hand column. The ranker then selects the "most valuable" person from the remaining list, crosses his name off and enters it below the top name on the right-hand list, and so on.

Paired-comparison ranking: This technique is probably just as accurate as alternation ranking and might be more so. But with large numbers of employees it becomes extremely time consuming and cumbersome.

To illustrate the method, let us say we have five employees: Mr. Abbott, Mr. Barnes, Mr. Cox, Mr. Drew, and Mr. Eliot. We list their names on the left-hand side of the sheet. We compare Abbott with Barnes on whatever criterion we have chosen, say, present value to the organization. If we feel Abbott is more valuable than Barnes, we put a tally beside Abbott's name.

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[6] *Industrial Jobs and the Worker* (Boston, Division of Research, Harvard Business School, 1965).

[7] See, for example, Harry Levinson, "Management by Whose Objectives?" HBR July-August 1970, p. 125.

We then compare Abbott with Cox, with Drew, and with Eliot. The process is repeated for each individual. The man with the most tallies is the most valuable person, at least in the eyes of the rater; the man with no tallies at all is regarded as the least valuable person.

Both ranking techniques, particularly when combined with multiple rankings (i.e., when two or more people are asked to make independent rankings of the same work group and their lists are averaged), are among the best available for generating valid order-of-merit rankings for salary administration purposes.

9. *Assessment centers*

So far, we have been talking about assessing past performance. What about the assessment of future performance or potential? In any placement decision and even more so in promotion decisions, some prediction of future performance is necessary. How can this kind of prediction be made most validly and most fairly?

One widely used rule of thumb is that "what a man has done is the best predictor of what he will do in the future." But suppose you are picking a man to be a supervisor and this person has never held supervisory responsibility? Or suppose you are selecting a man for a job from among a group of candidates, none of whom has done the job or one like it? In these situations, many organizations use assessment centers to predict future performance more accurately.

Typically, individuals from different departments are brought together to spend two or three days working on individual and group assignments similar to the ones they will be handling if they are promoted. The pooled judgment of observers—sometimes derived by paired comparison or alternation ranking—leads to an order-of-merit ranking for each participant. Less structured, subjective judgments are also made.

There is a good deal of evidence that people chosen by assessment center methods work out better than those not chosen by these methods.[8] The center also makes it possible for people who are working for departments of low status or low visibility in an organization to become visible and, in the competitive situation of an assessment center, show how they stack up against people from more well-known departments. This has the effect of equalizing opportunity, improving morale, and enlarging the pool of possible promotion candidates.

Fitting practice to purpose

In the foregoing analysis, I have tried to show that each performance appraisal technique has its own combination of strengths and weaknesses. The success of any program that makes use of these techniques will largely depend on how they are used relative to the goals of that program.

For example, goal-setting and work-standards methods will be most effective for objective coaching, counseling, and motivational purposes, but some form of critical incident appraisal is better when a supervisor's personal judgment and criticism are necessary.

Comparisons of individuals, especially in win-lose situations when only one person can be promoted or only a limited number can be given large salary increases, necessitate a still different approach. Each person should be rated on the same form, which must be as simple as possible, probably involving essay and graphic responses. Then order-of-merit rankings and final averaging should follow. To be more explicit, here are the appraisal goals listed at the outset of this article and the techniques best suited to them.

Help or prod supervisors to observe their subordinates more closely and to do a better coaching job.

The critical incident appraisal appears to be ideal for this purpose, if supervisors can be convinced they should take the time to look for, and record, significant events. Time delays, however, are a major drawback to this technique and should be kept as short as possible. Still, over the longer term, a supervisor will gain a better knowledge of his own performance standards, including his possible biases, as he reviews the incidents he has recorded. He may even decide to change or reweight his own criteria.

Another technique that is useful for coaching purposes is, of course, MBO. Like the critical incident method, it focuses on actual behavior and actual results which can be discussed objectively and constructively, with little or no need for a supervisor to "play God."

Motivate employees by providing feedback on how they are doing.

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[8] See, for example, Robert C. Albrook, "Spot Executives Early," Fortune, July 1968, p. 106; and William C. Byham, "Assessment Centers for Spotting Future Managers," HBR July-August 1970, p. 150.

The MBO approach, if it involves real participation, appears to be most likely to lead to an inner commitment to improved performance. However, the work-standards approach can also motivate, although in a more coercive way. If organizations staff to meet their work standards, the work force is reduced and people are compelled to work harder.

The former technique is more "democratic," while the latter technique is more "autocratic." Both can be effective; both make use of specific work goals or targets, and both provide for knowledge of results.

If performance appraisal information is to be communicated to subordinates, either in writing or in an interview, the two most effective techniques are the management-by-objectives approach and the critical incident method. The latter, by communicating not only factual data but also the flavor of a supervisor's own values and biases, can be effective in an area where objective work standards or quantitative goals are not available.

㉔ *Provide back-up data for management decisions concerning merit increases, promotions, transfers, dismissals, and so on.*

Most decisions involving employees require a comparison of people doing very different kinds of work. In this respect, the more specifically job-related techniques like management by objectives or work standards are not appropriate, or, if used, must be supplemented by less restricted methods.

For promotion to supervisory positions, the forced-choice rating form, if carefully developed and validated, could prove best. But the difficulty and cost of developing such a form and the resistance of raters to its use render it impractical except in large organizations.

Companies faced with the problem of selecting promotable men from a number of departments or divisions might consider using an assessment center. This minimizes the bias resulting from differences in departmental "visibility" and enlarges the pool of potential promotables.

The best appraisal method for most other management decisions will probably involve a very simple kind of graphic form or a combined graphic and essay form. If this is supplemented by the use of field reviews, it will be measurably strengthened. Following the individual appraisals, groups of supervisors should then be asked to rank the people they have rated, using a technique like alternation ranking or paired comparison. Pooled or averaged rankings will then tend to cancel out the most extreme forms of bias and should yield fair and valid order-of-merit lists.

Improve organization development by identifying people with promotion potential and pinpointing development needs.

Comparison of people for promotion purposes has already been discussed. However, identification of training and development needs will probably best—and most simply—come from the essay part of the combined graphic/essay rating form recommended for the previous goal.

Establish a reference and research base for personnel decisions.

For this goal, the simplest form is the best form. A graphic/essay combination is adequate for most reference purposes. But order-of-merit salary rankings should be used to develop criterion groups of good and poor performers.

Conclusion

Formal systems for appraising performance are neither worthless nor evil, as some critics have implied. Nor are they panaceas, as many managers might wish. A formal appraisal system is, at the very least, a commendable attempt to make visible, and hence improvable, a set of essential organization activities. Personal judgments about employee performance are inescapable, and subjective values and fallible human perception are always involved. Formal appraisal systems, to the degree that they bring these perceptions and values into the open, make it possible for at least some of the inherent bias and error to be recognized and remedied.

By improving the probability that good performance will be recognized and rewarded and poor performance corrected, a sound appraisal system can contribute both to organizational morale and organizational performance. Moreover, the alternative to a bad appraisal program need not be no appraisal program at all, as some critics have suggested. It can and ought to be a better appraisal program. And the first step in that direction is a thoughtful matching of practice to purpose.

Thomas C. Clary, "Motivation Through Positive Stroking", *Public Personnel Management*, March-April 1973, pp. 113-117. Reprinted by permission of the International Personnel Management Association, 1313 East 60th Street, Chicago, Illinois 60637.

MOTIVATION THROUGH POSITIVE STROKING

THOMAS C. CLARY

Everyone needs some kind of stroking; it is necessary for physical and mental health!

Games People Play

A "stroke" is the basic motivation for human survival and enjoyment of life. A stroke is a pat on the back or a word of appreciation. A kick on the shins is also a stroke. Everyone needs some kind of stroking. It is necessary for physical and mental health. Without strokes infants may die because their urge to live decreases. Eric Berne, the author of *Games People Play*, used the concept of intensity to illustrate the potential a stroke has for preventing what he called the "shriveling up of the spinal cord." As an individual grows up, he becomes more willing to take word stroking instead of the physical stroking he had when he was a baby. He still needs and wants physical stroking but often has to settle for word or symbolic stroking. Symbols of recognition become highly prized and are expected at every meeting between people. Saying "hello" and having someone reply "hello" is a form of stroke. An incentive award is a form of stroke. Because these are positive type strokes, they often lead to a happier individual and to higher production in the long run.

Individuals often say, "My greatest craving is that you look at me," "Smile at me," "Show worry for me," "Talk to me," "Listen to me," "Yell at me," "Cry out for me," or "Intercede for me," "Drop the phone and hear me," or "Drop what you are doing and hear me," or "Pay attention to me," "Applaud me," or "Tell others what a great guy I am." But requests for recognition strokes do not always come in such a direct form. Individuals cry out for strokes in various ways and they must be also able to recognize them when they get them. When they are given higher production is often a result. Positive stroking meets one of man's greatest needs. But this need must not only be met but constantly repeated and reinforced. Since it concentrates on the desired rather than on the undesired, it is called positive.

Stroking can also be negative, using forms of discipline and punishment. Because of past experiences many are more accustomed and comfortable with negative stroking than positive stroking. This type of person may be provoked into behavior that makes others turn on him (negative stroking). An example is the "bad little boy" who is bad because you say he is bad. However, negative stroking can at best result in acceptable production only on a shortrange basis.

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Stroking for Performance Change

There are numerous cases which one can cite where negative stroking has resulted in lower production, higher turnover rate, higher absenteeism and numerous other undesirable results for an organization. Some managers, let's say virtually all, do criticize. They have been well taught by parents, teachers, and bosses that this is the right way to supervise. Many have not been taught to handle performance problems any other way. Some are successful to some degree because they temper their criticism with some praise, or they motivate their employees by setting high goals. Some work very hard or have unusual experiences or are effective trainers. In other words, while they may be less successful in getting performance changed quickly and easily, they make up for it in other ways. If they also give positive strokes they will increase their chances of success or be more successful in getting a performance change.

People are often led to believe that one person can motivate another. This is a fallacy. One person can only set the climate. The other person will decide for himself whether he will be positively or negatively motivated. Depending on the climate set, he may motivate himself positively to do a good job or he could decide to motivate himself negatively to do a bad job or even to quit his job. People who believe they are motivating others should check to see if they are not just setting climates, while the other person of his own free will is deciding the direction in which he will be motivated. One should check to see if he is actually playing games that can have even greater negative connotations, as well as negative results on a longrange basis.

Positive Stroking Techniques

The best climate for motivation toward achieving the most effective results for an organization is set by positive stroking. Here are some examples:

a. Find and reward any good performance, however slight. Set goals for what is not done rather than calling attention to that which is bad.

b. Reward frequently on a scheduled basis, so that the individual becomes accustomed to and comfortable with receiving positive strokes. Just as a builder reinforces certain parts of a wall to make it stronger, so does the manager who is building performance. The manager strengthens certain desired stroking through rewards such as praise.

c. Shape behavior gradually so that individual purposes and needs are melded with the organizational goals. Organization goals should also be flexible.

d. Use the many nonfinancial rewards available.

e. Develop the ability to give unconditional strokes rather than conditional strokes. If a stroke is given to a person for what he does rather than for what he is, it is a conditional stroke. An example would be when a boss says, "I like you because you do as you are told." He is giveng a stroke with the hope that he will be given something in return. Normally this is the kind of stroke that is thought of in terms of pay raises or performance awards. When a stroke is given for what one is rather than for what one does, as when the boss says, "I really like you because you are you and sincerely want to help you be a better person, as well as employee," this is an unconditional stroke. It has no strings attached. It usually results in the individual wanting to do better, wanting to do more than is expected of him. When one is given strokes only for doing good things and not for being himself, he may soon resent doing good things and reach in a negative way, perhaps with anger. Everyone seems to need much unconditional stroking.

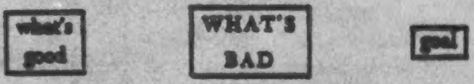
Objections to Positive Stroking

When positive stroking is recommended: Objections, questions, or suspicions such as these may be raised by managers:

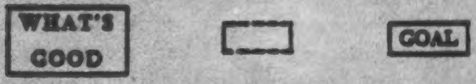
a. "You can't use stroking unless you are sincere." "I don't feel sincere about stroking in certain situations."
b. "Why reward them when they get paid to do that?"
c. "What if people know you are using stroking?"
d. "What happens if there is no improvement?"
e. "What happens if performance gets worse?"
f. "Isn't stroking sort of artificial?" "Doesn't it manipulate people?"
g. "Isn't stroking slower?" "Wouldn't it work faster to criticize?"
h. "Why not call positive stroking by another name?"

The reader can find his own answers to these questions. Much experience in teaching and observing managers using stroking has shown that good performance rather than poor performance needs increased emphasis. Why?

People have been taught at school, at home, and at work to look at someone else's performance this way:



The teacher returns a test paper with the incorrect answers highlighted, the parent only comments when the child is noisy, and many executives only react when the subordinate errs. Is there any wonder that most people end up with a feeling of being "NOT OK." This is why it is difficult for many to visualize performance this way:



By using positive stroking one can develop an "OK" feeling in himself as well as others. To put positive stroking into practice one must unblock his perception of another's performance so that he can recognize good performance and conceive of and recognize small steps in improvement.

A Consciously Planned Program

The manager who initiates a program of positive stroking must also become comfortable with this technique, particularly if he has been more accustomed to avoiding employees except when an encounter is necessary, or is ready with a negative type of counseling in the form of criticism, discipline or punishment. A consciously planned program may be necessary rather than just saying, "From this day forward I am going to give lots of positive strokes."

Some ideas for such a program are:

a. To *establish* or *strengthen* desired behavior stroking must be increased. Sincerity must be the basis of all stroking. Insincere praise or flattery are verbal marshmallows, soon forgotten.

b. To eliminate undesired behavior eliminate negative stroking. (The opposite of positive stroking is the absence of negative stroking, not punishment.)

c. In general, for a behavior to survive it must be reinforced either from an external source (the boss) or from the event itself. Plan your positive stroking until it becomes a comfortable, habitual, sincere act. Use a schedule such as:

1st thru 4th week—twice a week
5th week and after—once a week.

It is not intended that stroking be overdone. Eric Berne pointed out that a deficit or surplus of stroking were both reacted to unfavorably by people, as in a greeting ritual where a person may not reciprocate with as many strokes or may emit more strokes than expected.

d. More conditional stroking may be given at the outset because:

Behavior, like a car, takes more effort to start moving than to keep it moving.

Success is not likely to occur in the early stages. The reinforcement must

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> come not from the event itself, but from you.
>
> Many individuals have developed such a feeling of being NOT OK that they are initially much more comfortable receiving negative strokes than positive strokes. It is a big job to assist that person to be able to accept positive stroking and develop in him an ability to ask for positive strokes when he needs them. When he can do so, he will soon adopt an OK feeling about himself and thus feel others and the organization are OK. He will then not only be receptive but desirous of receiving unconditional strokes.

Rewards Available to Supervisors.

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In a recent survey eighty first-line supervisors of the U.S. Postal Service were asked to set forth what rewards for employees were at their disposal. Among those that were included most often were:

Listen
Smile
Be approachable
Be friendly
Be sincere
Be forgiving
Be fair
Show interest
Keep a confidence
Look for good and give strokes
Publicize recognition
Involve in decisionmaking
Give constructive criticism
Answer complaints with positive action

The same supervisors told of numerous incidents in which they had seen positive stroking work and result in higher production and better morale. One supervisor told of a case in which the clerks were taking too much for granted and waiting on customers without any friendly or courteous gestures. He did some roleplaying in his training session in which the employees acted as both clerk and customer. They soon saw their actions from the point of view of the customer without the supervisor having to correct them. Having had the opportunity to see both sides, they soon began to develop new habits, such as greeting customers, being more courteous, and showing concern. By talking about this situation, the clerks saw the results and began to enjoy doing a better job.

Supervisors told of receiving their own strokes as a result of having previously given them to their employees. One told of an employee who came to him while he was talking to his boss. The supervisor said, "Jack, we've sure got a heavy load tonight."

Jack replied to the supervisor, "Don't give it another thought. I'll have it all finished before I go home." Obviously, this attitude pleased the supervisor and he told Jack how much he appreciated it. The boss who was standing watching the encounter further complimented the supervisor by saying, "Is this for real?" He later sent a letter of appreciation to the employee. When he received the letter two days after this encounter the results of positive stroking were still evident.

Another supervisor told about his boss who never fails to give positive stroking by thanking people for a good performance. He feels that this behavior has contributed in a large measure toward their organization's attaining the number six ranking in the nation in production.

A young worker who, according to his supervisor, had initially been a good worker, steady, neat, efficient, and reliable, was always hesitant about moving ahead to another job without being told. One day the supervisor took him aside and told him that he had noticed his good performance, that he appreciated it and had recommended him for a superior accomplishment award. Since then this young employee has been a regular "ball of fire." Now as a group leader he handles work all by himself, where others would need one or two assistants. If there is no work he will either move to another area and begin helping there, or he will come and ask what he can do. Positive stroking helped him gain confidence and become a better worker.

Another example told by a supervisor was about a woman employee in her late thirties, who was married and had three children. Her husband was a retired master sergeant. She was quite dominated not only by her husband, but by others. She was also easily influenced and rather passive, but she had high potential, and a good personality. While acting as a substitute, she had come under the influence of a small group of low production workers. The supervisor wondered how he could make this woman a better employee. He did some minor off-the-cuff counseling, of a positive nature with no record made; then he started telling her some good thing she had done at least once a day. He has now reduced this stroking to once or twice a week. He had some set-backs, but was determined to make her work up to capability. As time passed and the supervisor continued his efforts, the woman began to gain more confidence. She began to reject the influence of the low production workers and is now doing a better than average job.

In another case positive strokes did not come from the supervisor, but from fellow employees. A rather indifferent, unproductive employee who was on the border of being mentally retarded was adversely affecting the group with which he worked. Two employees decided on their own to do something about this individual. They began taking him on breaks with them, joking with him in a rather positive way, encouraging him toward a better performance, and on his birthday bought him some cigars. Almost from the very beginning his production began to climb. Although he will never be the best worker in the organization, there is no doubt that he is doing far above what was thought to be his capacity. In addition, he is now a happier and better person because of the positive strokes he received from his fellow workers.

Positive stroking is an effective means of setting a climate so that the employee positively motivates himself toward higher production. He readily sees that he is as dependent upon the supervisor as the supervisor is dependent upon him. Furthermore, they are both as dependent upon the organization as the organization is dependent upon its supervisors and employees. Positive strokes lead to a positive lifestyle where one can sincerely say I COUNT—YOU COUNT—THE ORGANIZATION COUNTS!

Marshall [illegible]ls, "Leadership Development of the Library Staff", *News Notes of California Libraries*, 64:320-325, Spring 1969. Reprinted with permission of the California State Library, Sacramento, California 95809.

LEADERSHIP DEVELOPMENT OF THE LIBRARY STAFF

Marshall Fels
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Sacramento

The library has long been one of my favorite sanctuaries; the term conjures up all kinds of pleasant memories. But leadership? What is the need for leadership in those friendly, old, musty halls? I asked the question of our librarian, and she replied:

"Libraries have long been thought of as places of retreat; as you say, the library is one of your favorite 'sanctuaries.' The mausoleum image of the library has fostered the impression that librarians are primarily custodians, quiet but efficient caretakers who perform the same, or many of the same duties year after year in a more or less static environment.

"This is the stereotype, however, and not the reality. Libraries are active, changing, and progressive institutions that vitally demand leadership in their staffs if they are to offer complete and efficient service and to benefit from the technological innovations that promise to substantially reconstruct methods of library operation. Far from being isolated sanctuaries of retreat, libraries have become complex, cooperative organizations linked to each other and to the communities they serve. The same principles of good management, including the development of staff initiative, are as necessary to the operation of a modern library system as they are to any business or government institution."[1]

Whether or not Miss Davis was dealing in the real world of the library as a work organization is of no great moment now. Her remarks did serve to motivate me toward an exploration of leadership development of the library staff—and honesty dictates a confession that such stimulation was needed.

If libraries are dynamic places they do need to develop leaders, but the question of "what kind" may be a stumbling block. What indeed do you wish people to be led to; and do they, in fact, have to be led? Because I can't answer these questions—nor could several librarians I talked to—I must first speak to the point of that which constitutes leadership in the library as I assume it exists.[2]

A Work Organization

Though the library image tends, for the user, to project an image far different from the loading dock, the assembly line and the tax office, the library is nevertheless a *work organization:* it exists to do work. That work is done to meet the needs of someone outside of whatever *system* the library constitutes or whatever system the particular library is a part of. Being a typical work organization, however, the work performed in the library undoubtedly is often performed to meet the needs of the library staff. The point, related to leadership development of the library staff, is that this is an ever-present dynamic which must be recognized and dealt with. The training effort cannot deal with the organization as a flawless entity. You don't develop leaders by insisting they learn to operate the system as it exists.

The work. When we design the training experience for a library staff we all too often base the substantive inputs on the supposition that all work performed is good, worthwhile and challenging. If it isn't thus, we then assume that it is necessary. What room then for the creative, dynamic leader of the library if all this be true and he, or she, can't bring about change? What then for the library worker (professional or otherwise) who must perform the *necessary* work?

Purcell suggests that many people today see their work as rather meaningless. "Work for many is no particular fun at all, so they (the workers) try to relieve the boredom by outwitting the boss, idling, joking or devoting most of their energy and creativity to hobbies."[3] It would seem to me, as Purcell suggests, that "work ought to be, and can be, a deeply fulfilling and meaningful part of man's life."[4]

There is a choice to make, then, when one decides to deal with the matter of developing leadership for the library. One can choose to inculcate the drive in potential leaders toward holding out a carrot near a goal called getting the staff to do what has been the traditional in the library field. On the other hand, leadership can deal with the realities of the needs of those performing work and the needs of the organization which asks that the work be performed. More simply stated, leadership training must deal with the development of the organization as well as the development of the people within it. It is not of the real world to try to force people to behave in ways their grandfathers were able to accept.

Typical. Libraries are, I believe, rather typical work organizations. They can be unique, they can be stimulating, and they can constitute what might be called growth atmosphere—or perhaps milieu is the term. The approaches used and the subject matter emphasis included in the employee growth and development program can add tremendously to better library programs.

Policy for Development

Without developing a full policy for training leaders for the library, here are some points that the policy should include. There may be some overstatement in what is said. That is done for emphasis, hoping it will cause you to pause and consider the possible importance of the points made.

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[1] Miss Anne Davis, Librarian, Division of Research and Training, California Department of Mental Hygiene.

[2] See the attached bibliography for general source material.

[3] Theodore V. Purcell, "Work Psychology and Business Values: A Triad Theory of Work Motivation," *Personnel Psychology*, XX, no. 3 (Autumn, 1967), p. [illegible]

[4] *Ibid.*, p. [illegible]

> All potential leaders will devote a minimum of 20% of their time to developmental activities.

This figure may be quite low. Becoming a good manager, or administrator, involves many complex matters of knowledge attainment and attitudinal change. One three-day seminar per year is of doubtful value. The day is not far off when industrial managers, business leaders and public sector administrators will be looking forward to sabbaticals.

> As a teaching/training methodology, the lecture will be used as little as is possible.

The list of applicable training methods is much too long to report here. Of the group methods, there are at least 50 which come readily to mind. These 50 would include approaches such as: laboratory training, in-baskets, the incident process, progressive role playing, case studies, simulation exercises and so on. Of the individual approaches to training, it can only be said that these are limited only by the imagination of the superior responsible for the development of a subordinate. Coaching, giving the subordinate a special assignment, encouraging the subordinate to do degree work (on library time and at U.S.C., of course), and acting for the superior in his absence are but a few of the approaches which come immediately to mind.

> No training will be done related to a policy or procedure which has not been revised in the last three years.

The organization must grow and develop. This is, in great part, our theme here. Don't train for conformance to outdated ways of getting the job done.

> Employee development will be closely linked to more sophisticated hiring procedures.

You will probably react negatively here. But, if you will look at your hiring procedures, I believe you will find them linked to some unsupportable value judgments. For instance, you may well believe that hiring persons with a master's level degree insures a supply of future library leaders. In fact, the bright young man, or woman, with the degree and straight A's is often the person who best adjusts to the system as it exists and is very uncomfortable when trying to perceive himself as a change agent.

> *Consensus* will be a high priority training subject.

Subject matter areas for training tend to be reflective of the organizational atmosphere. They often tend to reflect the frustrations of management. Your topic having to do with marginal employees may well reflect managerial frustrations. These frustrations may be better dealt with by grappling with underlying phenomena and then using simulation exercises for reinforcement. Consensus, and obtaining it as a part of the study of organizational dynamics, may be a fruitful exploration related to marginal employees—who incidentally are probably harder to find than are *marginal managers*.

> Training for leadership will emphasize controlling results, not controlling behavior.

There is a great amount of managerial energy spent these days ranting and raving about miniskirts, 17 minutes for a 15-minute coffee break, how one must proceed, the too-long haircut, *ad infinitum*. Too little energy is spent on getting results. How to achieve results is one area in which I have a potential for being innovative. If you are really desirous of having me become a creative leader, you are working against your own ends by constantly trying to get me to conform to all your darn stereotypes. And incidentally, I no longer wear that loud shirt, boss, but I have not turned out much of a product for a year.

But enough of this heresy. You are, by now, either giving some thought to the matter or are contemplating the psychiatric treatment needs of the writer.

Some Approaches

For the purposes of illustration, let us hire Suzy/John (to honor the fact that library leaders come from both sexes) and develop this person into a library leader—taking certain license in the interest of brevity.

Hiring. If you were a training director rather than a librarian, you might well look at candidate Suzy/John differently. In the employment interview, the training director might be quite worried about the candidates: unwillingness to say I don't agree, propensity to accept what is said about the particular library as a nice place to work, absolute refusal to deal with the need for new approaches for meeting customer needs, etc. His concerns would be related to his job of taking a technically excellent conformist and transforming that skill and attitude into the skills and attitudes required of a dynamic, free-dealing, creative leader.

The hiring interview is where leadership development starts. With Suzy/John we are going to go beyond the traditional half-hour interview "on top of" a conventional test of mental abilities. At the very least, we are going to have this candidate participate in a staff conference, participate in discussions with other than present library leaders and have him leisurely go about the library observing and discussing the work with many members of the organization. No paper and pencil tests will be used unless there had previously been established a significant correlation between the probability of job success and a score on that test.

A plan. Starting with the first day on the job, developmental planning for Suzy/John will start. Skills and knowledges required for job performance will be noted, and ways of acquiring them will be suggested. At this early date it will be suggested to Suzy/John that supervisors and managers require certain knowledges and skills so that he can begin to undertake the training required.

Development in our hypothetical situation will be done by plan. It will be a topic of frequent discussion between supervisor and employee and the plan will be frequently updated. Suzy/John will be told that self-development is an important part of the scheme, even though the organization plans to make a substantial investment in the development of its employees.

Orientation. An intensive, planned orientation is essential. In this case the first four weeks, some of it being directed on-the-job orientation, will be entirely devoted to a settling-in process for the employee. Orientation will not be considered closed for six months, and not then if more of it is indicated. During this period many people in the library must be easily and quickly accessible to Suzy/John. Depending on the library and its patrons, many experiences can be derived for the person being oriented. Suzy/John should get to know how the patrons feel. Perhaps it might be well to have the new librarian go into a variety of libraries pretending to be a patron, asking for a variety of material to find out what librarian reaction is. The new person might be asked to make a brief survey of attitudes toward the library amongst library patrons.

There are many interesting approaches to orientation, again limited only by the imagination of the person designing that experience. Suffice it to say that no orientation is as good as the fairly standard approach of sitting the new librarian in the corner for two days to read rules, regulations, procedures, policies and history of Branch Library No. 12.

Pre-Supervisory Training. Without dealing with the problems of our present concepts of the superior/subordinate relationship, our hypothetical situation calls for supervisory training prior to promotion to that rank. It is never too early to give employees some insights into what an organization is and what the concept of supervision is—at least this holds true when talking about an organization in which most all the professionals are looking forward to promotion. If you don't accept this, however, consider the fact that training one to be a supervisor after promotion to that level may be a little ridiculous. Consider also that performance in *well-designed, well-controlled* pre-supervisory training experiences can contribute to better selection of supervisors.

Supervisory Training. At the supervisory level Suzy/John will need a great deal of time in training. The subject matter considerations will include: group dynamics, problem-solving as a group technique, conference leadership, needs of the worker in a group organization, controls in a modern organization, program management, etc. Though the supervisor will be asked to keep abreast of technological advanc[illegible] some point we will begin to de-emphasize the acquisition of tech[illegible] skills in favor of gaining managerial skills.

The techniques for training will be varied and will borrow from the most advanced approaches, such as the organizational training laboratory.[8] As mentioned above, there are both individual and group approaches to training. In addition to group techniques, the training of Suzy/John will include the very important individual technique of having the trainee perform in a managerial position.

Leadership Training. By this time in the career of our librarian, leadership qualities have either been in evidence or have not. If they have not, there is a great question as to the ability of the training/education process to develop them. The major point here is that *you can't wait to develop leaders.* Leadership development starts the first day on the job and is probably fostered much more by a positive organizational climate than it is by training.

At this late date, though we may not be able to "make leaders", we surely must give those in leadership positions a great amount of time to reinforce and reflect upon their leadership skills. Modern training techniques can help.

Growth and Development

The basic points of this talk to you have been each made several times now. They may not bear repeating, but I would like to make a new one. That which has traditionally been called training has ever been an appendage to the organization. When training becomes an integral part of your day-to-day operation, there will follow a much greater probability that libraries will be well led!

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[8] For a discussion of this approach and its effectiveness, see Frank Friedlander, "The Impact of Organizational Training Laboratories Upon the Effectiveness and Interaction of Ongoing Work Groups", *Personnel Psychology,* 20:289–301, Autumn 1967.

Guid[illegible] Subcommittee of the Staff Development Committee, Personnel Admin[illegible]ative Section, Library Administrative Division, American Library Association, "Guidelines to the Development of Human Resources in Libraries: Rationale, Policies, Programs and Recommendations". Reprinted with permission from *Library Trends*, 20:97-117, July 1971.

Guidelines to the Development of Human Resources in Libraries: Rationale, Policies, Programs and Recommendations

Guidelines Subcommittee of the Staff Development Committee,
Personnel Administration Section, Library Administration Division,
American Library Association

In recent years there has been a considerable increase in the attention given to personnel development in libraries. However, it is apparent from research-based studies in librarianship,[1] and from listening to librarians as they talk about their jobs—in daily conversation, in meetings, in the current literature[2]—that there are still many roadblocks which prevent the release of the human potential that exists within our libraries today. These guidelines take the position that a great deal can be done in the work situation toward diagnosing and removing these roadblocks by establishing and developing meaningful personnel development policies and programs. The need for such assistance—for guidelines—is implicit in the ALA Activities Committee on New Directions for ALA and Subcommittee Reports' demand to "develop and publish new personnel guides and tools which will assist library administrators in establishing better policies and procedures."[3]

Members of the Subcommittee of the Staff Development Committee who produced the guidelines are: Elizabeth W. Stone, Associate Professor, Department of Library Science, The Catholic University of America, Washington, D.C., (Chairman of the Subcommittee); Dale B. Canelas, Budget and Planning Officer, Northwestern University Library, Evanston, Illinois; Barbara Conroy, Director, Washington Seminar: Library Career Development, The Catholic University of America, Washington, D.C.; Frederick Duda, Assistant Director of Libraries for Administrative Services, Columbia University Libraries, New York; Y. T. Feng, Assistant Director for Research Library Services, Boston Public Library, Boston, Massachusetts; Karen Nelson, Assistant University Librarian for Personnel, Harvard University Library, Cambridge, Massachusetts; Christina Carr Young, Librarian, Washington, D.C. Public Schools, Washington, D.C.

It is hoped that, taken as a whole, these guidelines will stimulate responsible librarians to match their concern for staff development with meaningful action directed to that end.

RATIONALE AND SCOPE

Personnel development, which is used synonymously with staff development, as presented here is more than development programs and activities. That is not to say that courses, orientation programs, institutes, and inservice programs are not important, but rather to emphasize that, in themselves, they do not constitute the total means for the development of a library's human resources. Personnel development is fully possible only in an environment which not only permits, but actively encourages individuals to develop their potential.

These guidelines present some of the conditions that research in the behavioral sciences seems to indicate are necessary in an organization for the optimum effectiveness and growth of its human resources. Some ways in which managers may facilitate the implementation of these conditions are suggested. Because comparatively little research has been done that has specifically applied to libraries, many of the references are from other disciplines. One of the major findings emanating from behavioral science research has been the universality of those elements which apply to the development of human resources in *any* type of organization. Therefore, it is assumed, as Joeckel[4] was advocating in 1940, Martin[5] in 1945, Wasserman[6] in 1958, Stone[7] in 1967, Harlow[8] in 1969, and DeProspo and Huang[9] in 1969, that these elements are generally applicable to the library organization.

Definitions overlap in this field. As a result there is a lack of clear distinction between continuing education, personnel (or staff) development, and training. In these guidelines, continuing education is conceived as being a lifelong process through which individuals maintain themselves as competent people and grow to meet the challenges of change. Asheim has suggested that perhaps it would be better if the operative word were "continuation education," implying that "it comes after or over and above . . . the formal period of schooling which has terminated when one has achieved the basic, the first entrance qualification, to his present occupation or profession."[10]

Staff or personnel development more narrowly restricts those competencies to being job-related, yet broadly defines that term beyond only knowledge and skills to include attitudes and behavior which thus involve the total person as a worker and member of a library organization. Training is viewed here as a *means* of personnel development, referring more directly to methodology. In the words of Scott, "The immediate goals of training aim at improving individual job effectiveness and the climate of interpersonal relations in organization. By necessity, training must be oriented toward organizational objectives." [11]

For libraries to strive effectively toward their goals as viable organizations in a changing culture, it becomes important to view personnel development with an "asset management approach," which is concerned with the best allocations of resources.[12] The overriding importance of developing human resources in an organization has been forcefully stated by Likert: "Every aspect of a firm's activities is determined by the competence, motivation, and general effectiveness of its human organization. Of all the tasks of management, managing the human component is the central and most important task, because all else depends upon how well it is done." [13]

Two attitudes toward personnel development in libraries point to the need for these guidelines. One attitude is revealed by those librarians who have shown a concern for the development of human resources, but have considered it, as defined by McGregor,[14] as a production problem—if enough inservice training programs are manufactured and enough employees are directed to take them, staff development will automatically follow. A second attitude is evidenced by those who have been unsure or unaware of the values of staff development and are reluctant to make a full commitment to it. The second attitude is shown, for example, by supervisors who have been either apathetic or antipathetic toward continuing educational opportunities for their staff.[15] This paper hopes to offer concrete guidelines for the first instance and a new perspective for consideration in the second instance.

One of the pressures which intensifies the need for personnel development in libraries is the influence of modern management concepts which have tried to adapt to such contemporary realities as those summarized by Bennis in a recent article: "1) rapid and unexpected change; 2) growth in size beyond what is necessary for the work being done . . .; 3) complexity of modern technology, in which integration between activities and persons of very diverse, highly specialized competence is required; 4) a change in managerial values toward more humanistic democratic practices." [16] This last factor has largely developed out of basic research in the behavioral sciences and

has sought to understand the behavior of people as workers and members of organizations. This has resulted in a trend toward participative management. According to contemporary behavioral scientists such as Likert,[17] participatory management is the most effective management pattern for achieving organizational goals. From the point at which classical organizational theories view individuals in the organization merely as passive components of the system, participative management moves to a new stance of active involvement of employees in formulating and achieving organizational goals. A recent study by Marchant [18] found that libraries in general still tend toward the former, traditional attitude.

Democratic leadership involves shared decision-making. There are various degrees of this kind of participation. In one library it might take the form of allowing employees to share in all decisions which affect them directly. In another, participation might apply to sharing in the decisions relating to the alternatives open for the accomplishment of the objectives set. The report of Cornell's Committee on Continuing Education and Professional Growth in University Libraries reveals how vitally continuing education and staff development are linked with participation in decision-making by stating: "it appears that education without responsibility for decisions is hopelessly abstract, while decision-making without continuing education is inevitably inadequately informed." [19]

Democratic leadership involves more than just participation in decision-making. It also implies a "climate" in which employees have a chance to grow and develop, where supervisors are concerned about the development of those they supervise, where employee attitudes and involvement are solicited and respected. Thus, democratic leadership calls for a "state of mind" in which the management is committed to the recognition of the dignity of employees as men and women and not merely as factors contributing to the efficiency of the library. Scott [20] states that the realization of greater personal potential stems only from an organizational atmosphere which allows its participants freedom to decide and to act. If not allowed and encouraged, the organization as well as the individual suffers.

The constant need for change is another pressure which intensifies the need for personnel development. The role of the library in its changing culture seems to be an issue everywhere. Evidences of cultural change alter the missions and goals of the library, modify its priorities, and call for change within the library to meet the challenges and needs of the society. Social factors, as the study "Social Change and the Library: 1945-1980"[21] has pointed out, are redefining the responsibilities of libraries and shaping the future in which they will operate. Among the widely varied channels of communication needed to keep this "complex, highly integrated, and powerful society going . . . libraries have a special role as the only medium giving its user a wide freedom of personal choice and an opportunity to inform himself in depth by the use of a wide variety of materials."[22] Further, "the events of the next decade may indeed sweep libraries into positions of unprecedented importance, or they could be bypassed and superceded by other agencies and devices that can serve the public more effectively. . . . If we are to survive as a free society, albeit overcrowded, tense, divided, and uncertain, people must be helped to think rationally and to maintain their perspectives. Libraries are better fitted than any other agency we now have to do the job."[23]

The challenges of rapid and unexpected change that libraries face offer a route for obsolescence or for greater realization as a functional part of our society—depending on the response to those challenges. This has a direct relation to personnel development, as pointed out by David Kaser, director of the Cornell University Libraries:

> Libraries are going to be able to meet the new challenge of change only if working personnel keep their professional "implements" honed to maximum working capability. Library personnel, however, can best accomplish this if library management makes it as desirable as possible for them to do so. I feel therefore that a strong and coordinated program of continuing education and professional growth is in our best interests, both individually and collectively, and that it is incumbent upon the library administration to do all it can to foster one.[24]

Scott[25] maintains that those interested in planned organizational change have found that they can have the greatest impact on an organization through personnel development. Other reasons often used to justify staff development efforts include: increased job competence, improved interpersonal competencies, improved understanding and methods of conflict resolution between and within groups to reduce tension, development of more effective team management, attitude and value change to encourage creativity and innovation in problem-solving, and creation of an open organic system as the base of operation.[26]

Before proceeding to the section on the human resources approach

in action, another concept must be presented—the importance of a systems approach to library personnel development. "Systems approach" as used in this paper, is viewing the library organization as an orderly whole, of perceiving clearly the interrelationships of all the parts of the library to each other as well as to the whole library structure.

As a basis for our discussion, a concise definition of a system as given by Knezevich is presented:

> A system can be defined simply as any collection of persons with a plan, and a goal. The various elements within it are ordered and arranged to accomplish a stated mission in a particular way. . . . A system may be pictured as a device for converting inputs (such as manpower, machine power, space and money) into desired outputs. All this is done according to a plan and any constraints that apply must be spelled out. Components within a system are interactive and interdependent.
>
> Stated another way, every system has boundaries. There is an environment that surrounds it—a kind of skin that separates the unique entity called a system from factors outside it. If there is interplay between factors within and those outside the system, it is called an open system. If there is no interchange . . . it is called a closed system. Closed systems are unstable in the long run, for they lack the mechanism to sense changes in the surrounding environment which have implications for the effectiveness of internal operations.[27]

The systems approach consists of several components or subsets: analysis, design, operations, and evaluation. For our purposes, "systems analysis" is conceived as only one dimension—one part—of the total approach and thus has a restricted meaning. Systems analysis bears a close relationship to operational analysis and generally involves a quantitative oriented study of a system, and is not within the scope of this paper.

The systems approach in terms of staff development needs to be applied fully with regard to: 1) the relationship between the system of management of a library and the content of the development programs, 2) the internal consistency of the content of management development courses,[28] and 3) the congruence of the methods used in the programs with the management approach of the library. Many problems and frustrations arise when the philosophy used in the area of staff development is incongruent with other components of the library's management system. For example, in a library in which the structures and procedures are based on an authoritative style of management, a personnel development program based on the concepts of participatory management is likely to be disfunctional to both. The systems approach emphasizes that the goals and objectives, the organizational structure, the policies and procedures, the management activities, and the selection process must be compatible with training practices. For example, Likert warns that a system which does not have such total integration will fail to benefit from a training program which is democratic in its structure and the results may even be harmful.[29]

To sum up, thus far we have attempted to show, using a systems approach, the "what" and the "why" of personnel development. Now we will proceed with some guidelines to present the "how." These guidelines, we hope, will offer individual librarians at any level in the organization (not only the formal library administration) the opportunity to review and reexamine their present program, to plan for the future extension of their past efforts, or to initiate and develop a new comprehensive and interrelated (i.e., systems) approach to the development of human resources within the organization. Therefore, with the systems approach still in mind, we suggest some important elements for an action program within the library system related to personnel development.

THE HUMAN RESOURCES APPROACH IN ACTION

The responsibility for personnel development is shared by the individual and by the institution. Neither of these alone can fully assure a staff successfully working toward established organizational goals. Individual responsibility is based on professional commitment and a belief that learning is a lifetime excitement and reward. Institutional responsibility is a more formalized awareness of the organizational need for an alive, vigorous staff making the library capable of meeting changing societal needs. Fulfilling each of these responsibilities requires real conviction and commitment.

It must be emphasized, however, that the total organizational structure and overall management philosophy of the library as represented in policies, operational practices, and associated managerial procedures often affect the growth and development of the individual just as much, and sometimes more, than the policy statements and practices that deal specifically with staff development and continuing education.[30] A few examples may clarify this statement: 1) a decentralized organizational structure can provide an environment in which the individual is encouraged to take greater responsibility for his own behavior, thus increasing his feelings of accomplishment and self-assurance, in turn motivating him to take still more responsibility and contributing to his further growth;[31] 2) a system of tight control often has the opposite effect as constant tight surveillance by superiors tends to increase staff anxiety, and employees are apt to complain of detailed supervision and boring work;[32] 3) since all levels of the staff fear performance measurements which are used in a punitive manner by their superiors, measurements that can be applied by the individual to his own performance and that can help guide group decisions and actions are the most acceptable and useful both to the individual and to the library;[33] 4) personnel who are growing in the direction of specialized professional competency are as useful to the library as those who will become high level managers; consequently the rewards and punishments (both formal and informal) should be so designed that they will encourage both kinds of growth.[34]

A key factor in personnel development is the head librarian for his approach affects a great many other people in the organization. There are many specific ways the chief administrator's leadership has an impact on the library's staff development program. His leadership is important in developing, with his employees, a clear statement of policy on personnel development and continuing education—a statement which is known and understood throughout the organization and which is made realizable through supportive procedures, adequate financing and a positive working atmosphere. His leadership in developing a strategy for the selection of highly motivated employees based on the institutional objectives to be achieved is also important.

The responsibility for creating and maintaining a climate in which the full potential of all employees is recognized and used rests largely on the chief administrator. What creates this climate? Perhaps the most important factor is the application of the principle of supportive relationships—supervisors with confidence and trust in employees. "The leadership and other processes of the organization must be such as to ensure a maximum probability that in all interactions and in all relationships within the organization, each member, in the light of his background, values, desires, and expectations, will view the experience as supportive and one which builds and maintains his sense of personal worth and importance."[35]

The chief administrator is responsible for the nature of institutional decision-making. Recent research and experience in organizational development indicate that leadership toward participative decision-making is important to staff development. Participation in decision-making by those to be affected by the outcomes of those decisions either as a group or individually provides for both motivation and continuous learning experiences. At each level in the library's organizational hierarchy there is an opportunity for the supervisor to use his work group to identify problems, to cast them into opportunities for improvement, and to work for solutions to those problems that confront them. In this way fulfillment of organizational objectives proceeds hand in hand with personal motivation and fulfillment of the employee as well as his growth in both personal and organizational terms. The principle of group decision-making does not take from the supervisor the responsibility for the quality of all decisions made by his work group and their implementation. Since he is accountable for the decisions and results of his work group, personnel development becomes an important concern to him.

The leadership of the chief administrator is instrumental in moving those responsible for the library's funding to provide adequate financial support for personnel development and continuing education. This implies that all resources—those within the library itself, and those without (library schools, library associations, universities)—offering opportunities for expansion of conceptual, technical and human skills needed in the library are fully used. Opportunities outside the library offer many advantages which cannot be obtained through an in-house program[36]—such as the opportunity to think, to do research, to question, to discuss job problems and situations anonymously without fear of jeopardy to one's job. Asheim[37] has stated that library administrators must accept responsibility for providing support and opportunities in the form of leaves, sabbaticals and released time for continuing education of their employees. For inservice programs funding should be sufficient so that no particular individual is deprived of its benefits.

The administrator's commitment to a systems approach strongly affects the quality of the library's program. The systems approach is a way of anticipating new environments, developing plans for coping with emerging expectations, and maximizing benefits from resources allocated for reaching various goals. Such an emphasis implies that the chief administrator seeks to anticipate the impact of various forces acting upon the library from the outside and that he uses his influence to prepare the staff for change. It means that he will view with a long-

range perspective staff needs and development, and will not be totally occupied with a "crisis management" approach.

> The systems oriented administrator by definition is future oriented and mission oriented. He is characterized further as a strategist who places a premium on those executive functions related to goal orientation, planning and coordination. . . . The modern day administrator is judged no longer, as was his historical counterpart, by merely how well or efficiently he operates the system at present levels or as a maintainer of the status quo. Recognizing the dynamic quality of institutions in a troubled world, a key role of the administrator is that of a change agent. He is a prime agent for innovation.[38]

As a prime agent for innovation, a systems oriented administrator will lead in creating conditions within the library which will encourage and promote creativity and innovation among his staff. Such activity on his part was seen by participants in a recent survey as being an important way to encourage and motivate staff members.[39]

In summary, those library administrators who provide the leadership essential for keeping libraries alive, vigorous, and capable of meeting societal needs will be aware of change, make necessary adaptations in the program, discard outmoded procedures, not be afraid of innovations (even when they might disturb the "status quo"), delegate authority in the development of programs, prevent the library from splintering through over-emphasis on some types of specialization and failure to keep the "whole" library and its objectives constantly in mind, maintain supportive relationships of confidence and trust with subordinates, provide subordinates with all information regarding both library operations and profession-wide developments that apply to their area of competence and specialization, and realize that programs and procedures do not cause staff development of themselves but that the staff grows within the total environment created by the administrator.[40]

In some libraries there may be a development staff (or single person) whose primary concern is the personal growth and continuing education of employees. The chief role of such a staff would be continuous strategy planning with top management. In this capacity it would be concerned with improving the organizational environment so as to provide a climate in which personal, professional, and organizational goals could be achieved. In pursuit of this objective it would demonstrate to library management the effects of organization structure, policies and day-to-day managerial behavior on the growth, development and motivation of employees.

A second important function for such a staff would be that of providing competent counsel and help to managers who are attempting to fulfill their responsibilities for the development of their subordinates. If a development staff is competent in this, their advice will be sought. The emphasis here should be that such a staff would seldom be engaged in developing training courses per se but rather would help the managers themselves and the employees—individually or collectively—to find and utilize whatever means of development would best meet *their* needs and help them in *their* planning and implementation.

A third but much less important function would be keeping records for purposes of planning, but, as McGregor[41] emphasizes, records and statistics are not methods for developing talent; they are means of keeping track of the process. An example of the type of recommendation that such a staff might make follows. As the supervisor at each hierarchal level is entrusted with human assets for whose development he should be responsible, he should be asked to answer regularly and in detail questions such as these: "What are you doing to further the self-development of each person under your supervision? What are you doing to help those in your work group gain skills in group interaction and small group decision-making? Have you held target-setting conferences with each of your subordinates that will help him in establishing specific targets or objectives for a limited time period?"

Within the institution the employee's immediate supervisor is probably the most important influence affecting his staff development and growth.[42] The supervisor is, in large part, responsible for the job environment in the work place and should assume the responsibility for creating a climate conducive to growth. The climate created by the relationship between the individual and his supervisor on a daily basis is far more real and tangible to employees than occasional workshops or nicely printed policy statements. The day-by-day contact between a supervisor and his work group will reinforce or modify the attitudes, habits, expectations, and thus, the performance, of employees, and will overshadow what they learn in other settings. This obligation of the supervisor to develop his work group must be given recognition by top management, and the supervisor must be made truly accountable for creating a climate conducive to growth. Unless the supervisor's rewards (promotion, salary increments, etc.) are clearly related to his performance in the area of staff development,

supervisors will characteristically give scant attention to this function.[43]

Moving from the institutional responsibility for staff development to that of the individual staff member, the focus is less complex but not less important. With the individual rests much of the initiative for seeking and utilizing the opportunities offered within the organization and those outside. The improvement of personal and professional competency requires the individual to assess his needs and to determine his goals and directions as the starting point. Concurrent with this is the need for awareness of the issues, trends and developments in the field of librarianship, plus a sensitivity for the relationship of libraries to society, both on social and technological levels.

Fulfillment of the individual responsibility for staff development requires levels of involvement, time and energy commensurate with the level of commitment and the nature of other responsibilities the individual feels. The individual is the only one who can decide to what degree and in what direction he wishes to extend himself. To make those decisions requires a self-awareness as well as a knowledge of available opportunities and a sensing of the implications such an involvement might have. The institution's role, particularly that of the immediate supervisor, enters here. Present and intended work situations—their needs and potential—must be considered by the individual and the supervisor to assure that both individual and library goals are kept in sight.

Specific routes to the individual's approach to his own continuing education would include: reading and writing, not only in professional library literature, but also in general and specialized literature; involvement in research projects; active participation in civic, social and professional groups; participation in formal course work, institutes, workshops, etc.; involvement in new and developing areas of the library; and working beyond the department boundaries in planning, task forces and study groups. Implicit in all of these suggestions is the ability of the individual to use the many opportunities for continuing education that present themselves daily. Also not to be ignored are the resources of the library collection itself—offered to patrons but often overlooked by those who work there.

Thus far in this section we have considered suggestions for action programs related to the growth and development of employees on the part of the individual and on the part of the institution, including the effects of the library's philosophy and policies on personnel development, the responsibilities of the chief administrator, the responsibilities of a development staff (if one exists), and the responsibilities of the immediate supervisor. Next we turn to specifics involved in effective program planning for personnel development within the library.

Planning for Personnel Development

The purpose of a systematic, comprehensive program must be directed toward greater organizational effectiveness through increased individual competency. The time, money, and effort its initiation and maintenance require can only be justified by this overall objective. The best program is based on a long-term plan with continuity and sequence, although short-term programs may be designed to meet immediate objectives within that long-term plan.

Before a program is developed, careful decisions must be made. Does a training need exist—is it really a training problem? If so, what kinds of training content and method are needed? What results are expected from such a program? The following review of basic principles can apply to all levels of in-house programs as well as continuing education programs developed by library agencies and professional associations.[44]

1) To be accepted and effective, training must be based on valid present and emerging interests and needs of those for whom it is intended.
2) The objectives, responsibilities, and expectations of individuals and the organization(s) involved must be clearly defined and understood.
3) Training methods and media must be congruent with organizational structure, management approach, and available resources.[45]
4) All available resources—financial and human, as well as physical facilities—must be used to the best advantage.
5) Planning, implementation, and evaluation must actively involve participants.
6) The program must support the long-range goals and planning of the organization (its effective functioning) as well as the individual (his continuing education). As such, it must be flexible and open-ended.
7) The program must be evaluated in terms of its objectives—to what extent is it meeting the objectives set for it? Evaluation must be planned from the beginning.

Since the ultimate test of a personnel development program will be the extent to which it brings about effective libraries providing good

library service, results should be expected to be revealed over a long period of time, rather than immediately.

Specifically, evaluation can be in terms of the individual (competency), the unit (organizational operation) or the training program (effectiveness). Evaluation must formulate criteria in relation to the objectives of the program at the beginning, collect data relating to the criteria during the program, analyze and interpret the data during and following segments of the program, and make modifications indicated during and after the sequences.

8) The design of the program must be based on the nature of the adult as a learner.[46]
    - A. The adult is a self-directed human being. As such, he is capable of controlling the learning process, of self-diagnosis of his own needs, and of self-evaluation of progress toward his goals. He must WANT to learn. An informal social and psychological learning climate is the best medium for encouraging the desire to learn and for the learning process itself.
    - B. The adult has accumulated a reservoir of experience which is a unique resource for learning—for himself and for others. This enables him to gain progressive depth of meaning from each new learning experience and make the best use of a variety of learning methods and techniques.
    - C. An adult's readiness to learn is oriented to the development stages he is in. He will learn what he feels the need to learn. This timing and relevance are important, a sense of progress is important, and the grouping of learners must be appropriate for the kind of learning.
    - D. An adult tends to be problem-solving oriented to his learning experiences. The organizing principle for the design of learning experiences should be focused on problem area rather than subject, and emphasis should be on the practical application.

Each of these factors points up the validity of actively involving the participant in the personnel development program—to make full use of resources and to assure commitment of those involved.

9) A support base must be built to assure a stable foundation. The elements of this support base are: established policies, budget allotments, structures for incorporating new resources, structures for a constant inventory of training needs, structures to enable full awareness and use of continuing education opportunities within and outside the organization.

10) The value of the program must be communicated and understood throughout the organization.

Professional development and continuing education are a nationwide challenge which ultimately call for the best thinking and planning of individuals and groups. Some relevant groups are to some degree accountable for planning, implementing, and cooperating in the area of continuing education. These guidelines conclude with some specific suggestions regarding involvement of four relevant groups—state library agencies, the U.S. Office of Education, graduate library schools, and library associations. These recommendations represent the opinions of the committee writing the guidelines and are submitted with the intent that such a listing might stimulate responsible leaders in each of these groups to move ahead in developing continuing education programs uniquely adapted to the needs and resources of their specific groups. In addition these statements might indicate some prime areas for cooperative action between these groups.

Recommendations to Relevant Groups

The major concern of each agency responsible for library development at the state level is to strengthen the quality of library service. As such, continuing education becomes a major function of the state library agency. The need for continuing education for librarians is paramount today because of the increasing needs and demands of society for improved service, the need to make fuller use of the human resources recruited to the profession, and the development and planning for information networks now made possible by new informational technology. State agencies will not fully meet their responsibility until they:

1) assign individual staff member(s) major responsibility for developing human resources in the libraries of that state, including conducting and reporting periodically on staff development and continuing education activities in the state;
2) initiate, promote and implement continuing education opportunities directly or support efforts of others doing so—opportunities and programs which reflect the needs of library personnel in the area and make use of a variety of educational methods and resources, including the use of newer educational technology which is able to make those opportunities more conveniently available to all librarians in the state, at the time, place, and pace convenient to them;

3) adopt policies and operational procedures that will enable key agency personnel to join with other agencies, associations and institutions as well as libraries in thinking through broad problems and issues and developing long-range plans in advance of crises to solve these problems;
4) provide a clearinghouse function for program ideas, leaders, and facilities which can be used in planning, implementing and evaluating continuing education opportunities, including staff development efforts. (Building the knowledge and skills of the state library staff in reference to program planning and design, educational technology, evaluation methods, and criteria is necessary to directly serve the needs.); and
5) evidence concern and commitment for the continued growth and development of their own staff, both at the state library and in the field.

Without the active support of the federal government, personnel development and continuing education programs developed at local, state, and area levels, no matter how well conceived, will have little chance for successful impact. In supporting personnel development and continuing education throughout the nation the Office of Education should:

1) provide national leadership in finding ways and means by which all librarians may have equal opportunity to continue their professional education so that they will be able to meet adequately the new demands for service that society imposes on them;
2) provide national leadership in finding ways in which local inadequacies in continuing education opportunities for librarians can be minimized or eliminated by new educational patterns and technology;
3) plan, extend and coordinate at the national level all types of continuing education programs, including seminars, workshops and institutes so that the needs of each geographical area are adequately met; emphasis in long-range planning should be based on two criteria—need and cooperation with all relevant agencies.[47]
4) sponsor major research programs that would develop empirically validated curricula for persons for new and emerging roles in librarianship, employing wherever possible individualized and multi-media approaches to learning;[48]
5) call working conferences to identify the skills, knowledge and insights needed in areas where new approaches to the dissemina-

tion of knowledge demand new skills from personnel, such as the development of networks;

6) provide leadership and long-range planning in training and retraining personnel in the concepts of networks; and
7) provide research effort which will continually evaluate the energies and resources that the Office of Education has expended in the realm of continuing education.

The library school, in order to contribute fully to the development of the profession, must not limit its program to pre-service education. The many expert resources in a library school should lend themselves also to continuing education for the librarian. The perspective as well as the professional expertise and responsibility of the library school are unique. Research efforts can be used to supplement curriculum opportunities. The professional commitment of library schools can be given tangible form through:

1) support for the development of post-M.L.S. level continuing education opportunities (courses, workshops, institutes, packaged courses, etc.) which make maximal use of the new media and technologies (cassettes, electronic video recording, talk-back television, closed-circuit television, etc.);
2) constant assessment of the relevance of course work to the actual needs of practicing librarians based on continuing research to identify those needs;
3) initiation and implementation of policies to make wide use of all available resources for use in continuing education;
4) developing skills in faculty to enable the school to provide "consultant assistance" for personnel development and continuing education programs;
5) promoting the use of the school as a medium for free flow of communication between faculty and field as well as within the school itself;
6) development and promotion of new teaching methods that may increase the effectiveness of the student's educational experience;
7) cooperating with and contributing to other professional efforts at state, regional, and national levels for developing and distributing professional continuing education programs;
8) realizing that the provision of new effective services (such as provision of interlibrary communications and information networks) will demand new specialized skills, creativity and open minds, and agressive reeducation at all levels based on continual individual learning and growth; and

9) accepting the challenge: To implement a library without walls we need a university without walls.[20]

Professional library associations—local, regional and national—provide organizational frameworks which can enable interchange of ideas, cooperative planning of programs, and pooling and development of resources. These are significant functions.

Local, state, and regional associations are uniquely able to assure that programs are relevant and feasible and specifically related to the interests, needs and resources of each area. With continuity of effort assured, possibly through standing committee structures, these associations can:

1) constantly assess and inventory interests and needs;
2) be aware of and develop resources at state and regional levels;
3) develop active programs on issues of concern to librarians;
4) use and develop leadership potential in the area in order to broaden program planning expertise;
5) urge, conduct, and publish models of staff development endeavors;
6) use meetings and publications to further staff development efforts and available continuing education opportunities; and
7) cooperate closely with agencies, library systems, institutions (especially library schools) in developing avenues of continuing professional education.

National professional associations, having the advantage of greater continuity of staff and funding, can:

1) support more localized levels with expertise in program planning, provide a research base, and seek funding with strong emphasis on developing these abilities at local levels possibly through regional demonstration conferences on staff development;
2) assign staff member(s) responsibility for working with other associations and organizations (in the library field and outside) to initiate and develop programs;
3) involve all of their members, individually and collectively, in activities that will lead to a better understanding of the values of continuing education;
4) aid in identifying and utilizing leadership potential at local levels;
5) provide for dissemination and outcomes of their programs to others in the field (i.e., publish what they will do, are doing, and have done); and

6) establish and maintain liaison with library schools, business and industry, governmental agencies with regard to their goals and objectives in continuing education.

The purpose of these guidelines is to stimulate responsible librarians to match their concern for personnel development and continuing education with meaningful action directed to that end. The committee feels that a recognition must permeate the profession of the ultimate need to develop a conceptual and practical blueprint for the provision of equal, coordinated, educational opportunities for every librarian in the country who wants to extend his education throughout his working career. The committee sees personnel development and continuing education as a profession-wide problem which calls for planning at a national level. We further believe that any plans or programs which are evolved must, to be successful, meet the individual criteria of librarians themselves, and thus must involve individual librarians in developing those plans and programs. What is needed is a wide spectrum of continuing education opportunities, including in-house development programs in individual libraries.

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MODEL CONTINUING EDUCATION RECOGNITION SYSTEM IN LIBRARY AND INFORMATION SCIENCE INCLUDING PROVISION FOR NON-TRADITIONAL STUDIES AND DEVELOPMENT OF A PROTOTYPE FOR HOME STUDY PROGRAMS

VOLUME II: PART 2

GUIDELINES FOR RELEVENT GROUPS INVOLVED IN HOME STUDY PROGRAMS

INTRODUCTION--------------------WHITE PAGES

GUIDELINES FOR AUTHORS
OF HOME STUDY COURSES-----------YELLOW PAGES

GUIDELINES FOR REVIEWERS
OF HOME STUDY COURSES------------GREEN PAGES

GUIDELINES FOR PARTICIPANTS
IN HOME STUDY PROGRAMS------------GOLD PAGES

GUIDELINES FOR STUDY GROUPS
IN HOME STUDY PROGRAMS------------PINK PAGES

GUIDELINES FOR FACULTY EVALUATORS
IN HOME STUDY PROGRAMS------------GREY PAGES

GUIDELINES FOR OFFICE PROCEDURES
OF HOME STUDY PROGRAMS------------BLUE PAGES

INTRODUCTION.

These guidelines were developed by the Recognition/Home Study Project under the auspices of The Catholic University of America and the Continuing Library Education Network and Exchange during the pre-test of the home study course, MOTIVATION: A VITAL FORCE IN THE ORGANIZATION. This course was developed and pre-tested with funding from the U.S. Office of Education, Library Research and Demonstration Branch, Title II-B funds of the Higher Education Act.

The purpose of these guidelines is to serve as a prototype for the development and dissemination of home study courses for practitioners so that they might continue their careers at a pace, time and place that is convenient to them.

As used in this context "Home Study" refers to the improvement of professional qualifications and includes individual study at home, in the car, or in the workplace combined with group study, whenever geographically feasible, in media centers, libraries, universities, or public schools in which audio-visual instructional materials provide a basis for active, participative user-oriented learning.

Home study provides a type of learning that is independent of the number of pupils; that allows the greatest measure of individual teaching: that can be adapted, because of its great flexibility, to the most varied tasks and curricula; and that offers real chances for the "realization of the concept of an education and opportunities to learn that may last a lifetime."

The value of the home study mode of learning is presented in convincing terms by an expert in "distance studies", Karl Heinz Rebel:

> ...for the first time in the history of mankind, they (modern technologicaaly oriented teaching methods make possible a planned, directed, and systematic program of further education for everyone for their entire life. Scientific investigation has disposed of the old idea that learning is limited to childhood and youth and that adults are less suited to learning... Because of this, learning takes on real meaning for the existence of every adult. Nevertheless there is one necessary prerequisite. The adult must be in a position to determine his own learning tempo and to fit the learning process into his own routine. This means that the most suitably planned learning process is the one that allows for a high percentage of individualization. Home study, in its modern form, can fulfill these demands better than conventional methods of teaching.[1]

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[1] Kark Heinz Rebel, "The Necessity of Further Education in the Professions and Home Study as a Means of Realization," Convergence, 3 (1970), 66-75.

Research and experience have shown that certain characteristics are essential for the effective development and presentation of modern home study programs. Therefore the Recognition/ Home Study Project has developed the following set of guidelines to be used by those wishing to develop home study programs.

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GUIDELINES FOR AUTHORS OF HOME STUDY COURSES

Basic stages in the development of a home-study course:

I. Assess the need for a particular course, then identify the specific audience;

II. Determine the goals and objectives and the content for course; select a point-of-view or approach;

III. Organize information into units, or modules;

IV. Present the course, providing participants with interaction and response by way of comments from evaluators;

V. Provide for continuous evaluation by students and evaluators;

VI. Revise the course.

I. Assess the need for a particular course, then identify the specific audience:

- This will generally be done by a sponsor or developer of continuing education programs. For example, one of CLENE's purposes is to identify continuing education needs for the library/media/information science professions.
- Concrete procedural suggestions are available in several reports published by CLENE:

  1. Brooke Sheldon's Planning and Evaluating Library Training Programs, Concept Paper #3;
  2. Joe Washtien's Guide to Planning and Teaching CE Courses, Concept Paper #2;
  3. Elizabeth W. Stone's "Guidelines for Planning Continuing Education Opportunities" in the Directory of Continuing Education Opportunities.

- Some features of project management:

  1. Author must carefully consider his or her own schedule before deciding to write a home-study course. It really cannot be

I. Assess the need (continued)

in one's spare time. If regularly employed, the author should arrange for released time.

2. Experienced course developers estimate that it can take anywhere between 50 to 100 hours of effort for one hour of instruction. This includes work of the author, educational consultant, artist, etc. for the preliminary preparation, writing, graphics, revisions, and so on.

3. A panel of reviewers should be organized to comment on drafts of each unit of the course. These comments should be incorporated in the revisions.

II. Determine the goals and objectives and the content for course; select a point-of-view or approach:

- Keep in mind the instructional purpose of the course; the level of the participant; the participant's purpose in taking the course. An adult student has certain expectations about what a course should give in knowledge and skills.

- What are the academic and practical values of the course? How can the participant make use of what he or she learns in this course?

- A course must contain not only information, but also teaching (that process by which one person assists others in learning). Aim to reinforce the how and why and not merely the what.

- Proceed from the known to the unknown so that the participant can continually understand as he advances. Explain concepts and interpret ideas that are introduced, citing examples that stay within context of the subject area.

- Consider the possible styles for home-study course:

  1. Author provides the entire text and cites easily attainable publications.

  2. Author selects a textbook and supplements it with comments and instructional assignments.

  3. Author supplies varied readings and ties them together with explications, comments and assignments.

II. Determine the goals and objectives (continued)

- Outline each module with three or four levels of detail--sub-module sections, subsections, sub-subsections--to organize your thoughts. State briefly what is to be covered in each part. This can then serve as an annotated table of contents.

- Style and tone can establish rapport between teacher and participant. The course writer should keep an image of the intended student clearly in mind and direct the writing to that student as an individual. This avoids the temptation to write down to the student--where the writer knows what he is saying but the student does not.

- Avoid jargon in your language. Be sure to define technical words or concepts immediately with a commonly accepted definition. Consult a standard technical glossary.

- Depending upon how the course is organized, a distinction should be made between required reading for study and optional references which the student may find beneficial if he or she has the time, energy and library facilities.

- What is expected of the student in terms of study, written work, supplementary exercises, etc? What is required for successful completion of the course?

- If there is to be an accompanying text, why was a particular one chosen? Explain its value.

  1. Recall that frequent references to particular passages and pages in a publication should encourage more careful study. They also indicate what you consider to be important.

  2. Before selecting a text as a basis for a course, the author should consult the publisher or author to insure availability.

III. Organize information into units, or modules:

- Organization is a major challenge: Determine the proper sequence of the information to be conveyed. Provide practice or reinforcement in order to strengthen the student's motivation. Break the subject content into reasonable portions--too much material cannot be assimilated at one time.

GUIDELINES FOR AUTHORS....

III. Organize information (continued)

- The number of units depends upon the nature and complexity of the course, but each lesson should comprise enough material for a student to complete with satisfaction in a reasonable length of time, say, in 10 to 15 hours. It should not be so short that it lacks a real sense of achievement, nor so long as to make one weary or frustrated.

- Each module should have a title page, a preface, and an outline. The outline should state what is to be covered in each section.

- Each unit can be divided into three parts:

    1. Introduction. This can be a statement of the material which is to be studied. Provide a preview of information to be conveyed in module.

    2. Discussion material. This is the teaching part of the course. Anticipate student questions. What would a student ask in class? This part can progress from the preview to an overview of the subject matter to be studied.

    3. Exercise. This measures the student's understanding and ability to apply knowledge. (Refer to section IV for elaboration.)

- An annotated bibliography of your references could add considerable interest. The student should know why certain readings have been selected. You might offer your personal opinion of the works that are cited, or of the oft-cited works in the field.

- Provide for visual interest; bold-face type and underscoring/subheadings/indentations/boxed instructions/frequent breaks in text/illustrations such as charts, tables, diagrams.

- In quoting copyrighted material from a source other than the text, recall that the permission of the author and the publisher is required. It may be sufficient to indicate the substance of the material, giving credit to the source; this does not require permission.

- In addition to imparting information, the author should interpret for students why particular ideas, facts, procedures, figures, rules or formulas are important. Include practical examples which are appropriate to the subject area.

III. Organize information (continued)

- Introduce the first module with this information:

  1. Summarize material that will be covered by entire course in order to provide for the student's overview.

  2. Educational Objectives: What can the student expect from each module, as well as from entire course? What does the instructor expect from the student? List skills, knowledge, competencies that will be imparted by the course.

  3. Readings: Describe readings that will be provided as well as those that will be recommended. Will any kind of text be recommended for general background? Each module should be self contained and not refer to materials that would be difficult to obtain.
  4. Supplementary material: Such as definitions of new terms (a glossary); references to audio-visual materials that could be located in local libraries; a bibliography.

  5. Describe each section of the module: Such as the narrative text, self tests, exercises, readings, selected materials for further study, evaluation of module.

  6. Vita: author should provide a brief description of his or her professional background.

IV. Present the course, providing students with interaction and response by way of comments from evaluators:

- Each module should provide exercises which measure the student's understanding and ability to apply knowledge. These exercises will be sent to an evaluator for reading, correction and comment. You may want to make this simple and brief for the first lesson. The exercises can then increase in difficulty, but there should be, for the most part, an overall consistency in the work load.

- Does the exercise provide an adequate coverage of the entire module? In addition to measuring the student's knowledge, questions or problems should encourage the student to do some original thinking.

- The author should avoid questions which can be answered merely by a direct quotation from the text. An interpretation of a fact may be more important than the fact itself.

IV. Present the course (continued)

- Check to see that the directions are specific. Have you indicated precisely what you expect the student to do? How would you advise the student to approach each exercise? Can you suggest specific study procedures?

- Provide exercises for self testing by the student—with answers.

- You might consider asking the student to submit questions for which he cannot find adequate answers in the text or other study materials. Perhaps such questions (and even tentative answers) could be part of every exercise.

- Build in some control over possible responses to exercises so that evaluators can readily appraise. The type of response that you would expect for each exercise should be outlined separately—to serve as a guide for the evaluator.

- Possible ways to involve the student:

  1. A successful course will instill enthusiasm. Since a correspondence student lacks the stimulus of classroom activity, the author should encourage a personal contribution from the student, not just the parroting of facts.

  2. Consider inserting groups of practice problems at intervals. The solution can be given at the end of the problem (or the module). This gives the student an opportunity to test his or her knowledge of the principles that you have been trying to explain, and also gives the course added flexibility.

  3. Variety in the type of self tests and exercises is desirable. Try a combination of essay, objective questions, narrative problems, summary and reaction to the reading assignments, an analysis of opposing points of view.

  4. Objective-type questions (true-false,/multiple choice, completion, matching, etc.) should require reasoning and not merely recall of facts. Objective questions are an effective way of covering considerable material quickly, but they should not be used merely as a short cut.

- Provide for review. The whole structure of the course should involve the student in review. Do not depend on stating that a certain section should be reviewed. As this may be more easily said than done, a few techniques follow:

GUIDELINES FOR AUTHORS....

IV. Present the course (continued)

1. Incorporate the comparison of present material with earlier materials in the course by asking the student to criticize or evaluate.
2. Repeat earlier ideas in your summaries.
3. Include, from time to time, questions that refer to previous lessons.

V. Provide for continuous evaluation by participants and evaluators by means of standard evaluation tools.

VI. Revise the course based on comments and criticism received from participants and evaluators.

GUIDELINES FOR REVIEWERS OF HOME STUDY COURSES

Each module of a home study course is a teaching instrument; it should give the kind of help that an instructor would give in a classroom. Perhaps a good way to examine the first module is to pretend you are a student. Would this lesson interest you and inform you as a student?

Listed below are some notes that we will probably incorporate in a guide for authors. They are offered here as suggestions that may assist you while reviewing the course.

Basic stages in the development of a course:

a) Determine the need for a particular course

b) Prepare and present the course

c) Provide for student-teacher interaction

d) Provide feedback via paper correction

e) Revise the curriculum

The author should keep in mind:

The instructional purpose of the course/ the level of the student/ the student/s purpose in taking the course

An adult student has certain expectations about what a course should give in knowledge and skills

Organization is a major challenge: determine the proper sequence of the information to be conveyed/ practice or reinforcement should also be provided, to strengthen the student's motivation

A course must contain not only information, but also teaching (that process by which one person assists in the training of others).

Proceed from the known to the unknown so that the student can continually understand as he advances. Break the subject content

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GUIDELINES FOR REVIEWERS....

The lesson unit, or module

The number of units depends upon the nature and complexity of the course, but each lesson should comprise enough material for a student to complete with satisfaction in a reasonable length of time. It should not be so short that it lacks a real sense of achievement, nor so long as to make one weary or frustrated.

Each lesson, or unit, can be divided into three parts:

1) Introduction. This can be a statement of the text material which is to be studied or reference to additional sources. Consider a brief preview of information to be conveyed in the lesson.

2) Discussion material. This is the teaching part of the course. For instance, anticipate student questions. What would a student in class ask? This part can progress from the preview to an overview of the subject matter to be studied. Be clear and specific, and be sure to explain a technical word when it is first used.

3) Assignment. The lesson report, that is returned to Graders for reading, correction and comment, measures the student's understanding and ability to apply knowledge. You may want to make this simple and brief for the first lesson. The assignments can then increase in difficulty, but there should be, for the most part, an overall consistency in the work load.

   Does the assignment provide an adequate coverage of the entire lesson? In addition to measuring the student's knowledge, questions or problems should encourage the student to do some original thinking.

   You might consider asking the student to submit questions for which he cannot find adequate answers in the text or other study materials. Perhaps such questions (and even tentative answers) could be part of every lesson report.

into reasonable portions -- too much material cannot be assimilated at one time.

Style and tone can establish rapport between teacher and student. The course writer should keep an image of the intended student clearly in mind and direct the writing to that student as an individual. This avoids the temptation to write down to the student -- where the writer knows what he is saying but the student does not.

Consider these items for the introduction:

Describe briefly the subject field.

What is the purpose or objective of the course? What will be taught?

Give an overview of the course, perhaps by including a synopsis of the subject content and the division into lesson units. Indicate the areas of knowledge that the student will cover and the skills he will practice.

What are the academic and practical values of the course? How can the student make use of what he learn in this course?

What is expected of the student in terms of study, written work, supplementary exercises, etc.? What is required for successful completion of the course?

How would you advise the student to approach each assignment? Can you suggest specific study procedures?

If there is to be an accompanying text, why was a particular one chosen? You might explain its value.

Depending upon how the course is organized, a distinction should be made in the introduction (or in the first lesson) between required reading for study and optional references which the student may find beneficial if he has the time, energy and library facilities.

GUIDELINES FOR REVIEWERS....

Check to see that the directions are specific. Have you indicated precisely what you expect the student to do?

Five CEU's (Continuing Education Units) will be given upon successful completion of the course, including final examination. Has the author clearly stated the means of assessing the student so that the student's acquisition of knowledge can be evaluated?

GUIDELINES FOR PARTICIPANTS IN HOME STUDY PROGRAMS

About the Course...

This home-based study course for library/media/information personnel has been developed by the Continuing Library Education Network and Exchange (CLENE)*for those people who wish to continue their education or pursue an interest in a particular area of importance for library, information, or media centers. Its purpose is to provide personnel in these allied fields with a way to improve their job-related competencies, to offer opportunities for individual fulfillment, and to encourage a commitment to lifelong learning.

> Continuing education is no longer merely a good and worthy thing for self development; it has become a national necessity. . . . it has become indispensable to the effective operation of our free society . . . and the management of the multifarious public affairs of the country . . . no one in these times can go far on the intellectual capital he acquired in his youth. Unless he keeps his knowledge or skill up to date, revises it, adds to it, enriches it with new experiences and supplements it with new ideas as they displace the old, he is soon handicapped for the duties of the day.
>
> Robert D. Calkins 1967

The course consists of five learning modules which require interaction between the participants and a faculty of evaluators--who provide personalized guidance. Each module consists of a narrative text, which develops the major topics, and readings, which relate to the concepts presented in the text. Together, these present the student with information. The self tests and exercises are used to assist participants in evaluating their command of the material.

Time Element

We have estimated that each module will take between 10 to 15 hours of your time: studying the readings...taking the self tests...completing the exercises. You could help us verify this by reporting actual (or approximate) time spent in preparation of the module. Please note somewhere on the exercise page.

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*Through funding by the U.S. Office of Education Program for Library Research and Demonstration under Title II-B, Higher Education Act.

GUIDELINES FOR PARTICIPANTS....

Procedure for Handling the Exercise

Mail the completed exercise, plus any questions you may have, to the address as indicated on your home study materials. The Home Study Office will forward them to your Faculty Evaluator who will read the paper, make appropriate comments, and mail everything back to the Office in about 10 days. After recording the Evaluator's appraisal, the Office will promptly return the exercise to you.

Faculty Evaluators

One of the advantages of a home study course is the personal attention you receive from your Faculty Evaluator. Our Evaluators have been selected from specialists in this area to appraise and comment on exercises and the final examination. You will receive thoughtful answers which are prepared for you alone. An additional advantage for some is that you can make mistakes or ask questions without wondering what your classmates might think!

Recognition for Completing the Course

There will be no grades as such in this course, but the Faculty Evaluator will summarize his or her opinion of each exercise as satisfactory or unsatisfactory--for your information and guidance and for our record keeping. If for some reason an exercise is considered to be incomplete you will be able to resubmit the exercise again after further preparation.

If you wish to receive five Continuing Education Units (5 CEU)* for this course, you must complete all exercises in the modules and take a final examination--to the satisfaction of your Faculty Evaluator. You can make this decision at the time of the next-to-last module when we send you an application for the examination.

Some suggestions for studying the module:

Survey the main headings and summaries to get an overall picture. Include the charts, graphs, or other visual aids in your perusal.

Ask yourself questions to which the answers might reasonably be found in the unit. By providing yourself with a preview and a review of the lesson you can substitute for what an instructor might say in class.

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*Are you familiar with the CEU (the Continuing Education Unit)? If not, please see page 4 for explanation.

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Read the material in detail in search of the answers to your questions. As you go along, mark the text: topic and summary sentences, key words, technical words. Take notes.

Test understanding of content as you proceed; for instance, if a question is answered directly in the text, restate the answer in your own words.

Review as necessary to gain mastery.

Ways to make home study a more active experience:

Restate what you have read in your own words--preferably out loud.

Ask yourself how the material you have already read is related to what you have previously studied or to your own experience. Why is it important?

If you have the opportunity, explain what you are studying to someone else. You will discover how well you know the material and it will reinforce what you have learned in another way.

When you come upon a new word, continue to read, trying to get the idea from the rest of the sentence or paragraph. When you reach a stopping place, look up the meaning. A good idea is to write out the definition: in this way you will build your own glossary of terms while adding to your vocabulary.

Form your own judgments while studying the course. Even if a viewpoint is that of an expert, look at it critically. What does your own experience contribute to the answer? Be able to back up your divergent view with evidence and logical reasoning.

Ask questions: whenever material is not clear to you; if you want help in finding additional information; if you want to clarify a view in your own mind; or merely to show that you are thinking critically. Try to be specific, though, not general. The Faculty Evaluators will do their best to clear up any points which may cause difficulty.

GUIDELINES FOR PARTICIPANTS....

Final thought: questions or comments that you raise will prompt the Faculty Evaluator to give his or her own personal views; a dialogue will thus ensue which will make your work more interesting and profitable. This is home-study learning at its best.

Now you can achieve formal recognition for completing a home study course with

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After an extensive review of nationwide continuing education programs, the Task Force arrived at a way to recognize and record a person's participation in qualified programs that would not receive academic credit. Approved in 1974, it is called the Continuing Education Unit.

GUIDELINES FOR PARTICIPANTS....

What is the benefit of the Continuing Education Unit?

The CEU supplies you with a record of your continuing education activity. Under the CEU system you will have a permanent record, maintained by CLENE, that you can add to your employment file or cite in job resumes. The transcript will be sent to anyone you wish upon written request to the CLENE Office.

GUIDELINES FOR STUDY GROUPS IN HOME STUDY PROGRAMS

Home study may be a new experience for you. You will be entirely on your own, free to study at your own pace. If you supplement your individual reading and studying at home with discussions with others who are also taking the course, you will enjoy the benefit of reinforcing what you learn.

This guide describes some of the reasons for group study and recommends a structure for your group. Key roles of certain individuals in the group are also defined. After you and other participants in a home-study program agree to meet together for discussion, you should invite an authority in the subject to act as Advisor to the group. The group should also have a Session Leader who might be selected on a rotating basis from group members to direct each sessions's discussion.

The group should meet at least one time for each module in order to discuss the course material. Exercises from each module will be written on an individual basis by the participants and will be sent to an Evaluator, who will appraise and return them with comments so that each member of the Study Group can see how he or she is doing.

Benefits of Group Study

Group study provides the learner with a more active participation in the learning process. It facilitates the exchange of ideas and encourages co-operative problem solving. This can give depth to the facts that are learned and at the same time build skills in working with others toward a shared goal.

Recommended Organization for Study Groups:

- Study Group Members
- Session Leader, or Leaders
- Study Group Advisor
- Faculty Evaluator

Funded by the U. S. Office of Education Program for Library Research and Demonstration under Title II-B, Higher Education Act.

GUIDELINES FOR STUDY GROUPS....

• Role of the Study Group Members

A study group consists of individuals who have agreed to combine their efforts toward a mutually acceptable goal, that of learning about motivation. No group can function effectively without teamwork, which means that each member should agree to the objectives determined by the group. While the Study Group Advisor and Session Leader have central roles in initiating and module, each individual group member should be equally well prepared in order to contribute to the discussion and to understand the contributions of others. Each group member will want to contribute knowledge, skills, and opinions to ensure group interaction.

• Role of Session Leader

For each session one or two group members should be responsible for leading discussion of the individual module. The Session Leader will play a strategic role in initiating and sustaining the discussion at each meeting. Depending upon the size of the group and number of modules (in this case there are five) it is often desirable to select co-leaders so that every member of the group has a turn.

Responsibilities of Session Leader:

Give direction by stating immediate objectives and periodically summarizing progress to insure that they are being met;

Seek opinions, ideas, and solutions of other group members;

Clarify what has been said in order to assure good communication among members;

Provide, in consultation with Study Group Advisor, enrichment materials (such as films, cassettes, diagrams, etc.) that will help clarify idea presented in the modules;

Seek to bring out the best thinking of the group members in reaching resolution of problems;

Assist the group in looking at the problem objectively if disagreements and tensions arise;

Attempt to draw all members of the group into the discussion.

• Role of Study Group Advisor

The Study Group Advisor, who should be an authority in the subject, is chosen by members of the study group from the community or a nearby academic institution.

- Role of Study Group Advisor (continued)

The Advisor must be approved and is paid by the Home-Study Office to serve as a resource person for the participants and to coordinate all activities of the home-study group.

Criteria for Selection of Advisor:

Should have expert knowledge of subject, through education or experience;

Should have desire and interest to act in this capacity;

Must have time to keep group organized and moving along.

Responsibilities of Advisor:

By Serving as Resource Person:

Answer topical questions that arise;

Stimulates the exchange of ideas by drawing out different perspectives;

Demonstrates practical applications and tangible benefits of studying this subject;

Helps Session Leader prepare for discussion of each module;

Assists Session Leaders in selecting and presenting special learning materials such as films, cassettes, diagrams, that can enrich the material presented in modules;

By Acting as Facilitator:

Helps create a postive climate by encouraging and supporting group members;

Encourages divergent points of view to be expressed in an atmosphere of acceptance and understanding;

Encourages participation and urges group members to share the responsibility for group learning;

Assists the group to test solutions that evolve, in terms of reality;

Communicates enthusiasm for subject.

GUIDELINES FOR STUDY GROUPS....

By Organizing the Meetings:

Schedules meetings of Study Group;

Handles necessary administrative matters to ensure that meetings run smoothly;

Mails report of each session and completed exercises to Home-Study Office.

By Recording Group Activities:

One of the Study Group Advisor's chief responsibilities is to prepare a written summary of the group's work, summarizing the consensus and divergence of opinions among team members in solving problems.

- Role of the Faculty Evalutor

The Faculty Evaluator is an expert in the subject who appraises, by way of correspondence, the exercises submitted by each participant. This appraisal includes correcting mistakes, offering comments, and providing supplementary suggestions.

There will be no grades as such in this course, but the Faculty Evaluator will summarize his or her opinion of each exercise as satisfactory or unsatisfactory--to simplify record keeping for the Home-Study Office and for the information and guidance of the participant.

Recommended Procedures for Study Groups

Complete Personal Profile Form: (follows Guide to the Course in first package) Information in this form will introduce individuals in the Study Group Advisor and to the Faculty Evaluator, who is participating via correspondence; it will provide the Home-Study Office with data for assessing participation in home-study courses.

At First Meeting of Group: (perhaps the group could meet for a brief "Get Acquainted" organizational meeting, before the regular meeting, to discuss course modules.)

1. Complete the individual profile forms and study group enrollment form. Advisor mails to the Home Study Office;
2. Organize the class meeting schedule;
3. Determine the Session Leader or Leaders for first two meetings of group;

GUIDELINES FOR STUDY GROUPS....

Agenda for Regular Meetings:

1. Advisor completes the class record form; and mails later to the Home-Study Office;
2. Session Leader, or Leader, introduces the discussion, based on material in one of course modules;
3. Group members appoint the Leader or Leaders for next session;
4. Group members schedule the next meeting.

Exercises:

Each participant mails the completed module exercises to the Home-Study Office. The Office records it and then forwards to the Evaluator assigned to the group. After appraising and commenting on each individual paper, the Evaluator returns it to the Office—again for record-keeping purposes whereupon it is returned to the participant. The exercise should get back to the individual within about two weeks.

BIBLIOGRAPHY ON GROUP DISCUSSION LEADING

Blake, Robert R. and Jane S. Mouton. Group Dynamics — Key to Decision-Making. Houston: Gulf Publishing Company, 1961.
Views group dynamics in relation to decision-making that is done by groups. Explores power, problem-solving and conflict in relation to groups and the elements of how to get better decisions from groups.

Bormann, Ernest C. and Nancy C. Bormann. Effective Small Group Communication. Minneapolis: Burgess Publishing Co., 1972.
Slim volume which "bridges the gap between what the experts know about small group communication and what beginning students need to know." An "introduction to basic communication theory as it is applied to the dynamics of small groups."

Bradford, Leland P. Making Meetings Work: A Guide for Leaders and Group Members. La Jolla, CA: University Associates, 1976.
Excellent and succinct book written for the lay person. Based solidly on experience and perception, the author is a long-term expert in group process. This work concentrates on enabling productive and democratic groups to do their tasks.

Luft, Joseph. Group Processes; An Introduction to Group Dynamics. 2nd ed. Palo Alto: National Press Books, 1970.
Emphasized laboratory methods for studying group processes, and examines basic issues in those processes and how they interact with organizational behavior. Includes lengthy bibliography.

Miles, Matthew B. Learning to Work in Groups. New York: Columbia University, Teachers College Press, 1959.
Classic, which describes what effective group behavior is, particularly in learning situations and how leadership can positively influence that behavior. Focuses particularly on how an individual or a group can learn and apply the principles of group behavior.

Napier, Rodney W. and Matti K. Gershenfeld. Groups: Theory and Experience. Boston: Houghton Mifflin, 1973.
This volume brings together the theory of group process and validated exercises to practice the application of that theory. An accompanying Instructors Manual includes additional exercises in each of the focal areas of the basic book: perception and communication, membership, norms, goals, leadership, problem-solving and decision-making.

GUIDELINES FOR STUDY GROUPS....

Sattier, William M., and N. Edd Miller. Discussion and Conference. 2nd ed. Englewood Cliffs, New Jersey: Prentice-Hall, 1968.
Discussions and conferences are those situations which call for talking with a purposeful direction and at some depth. This book covers a broad scope with particular focus on problem-solving, leadership, participation, public meetings as well as fundamentals of group processes.

This, Leslie E. The Small Meeting Planner. Houston: Gulf Publishing Company, 1972.
Of immediate and direct help to those who plan and conduct meetings, three excellent chapters are concerned with the small group leadership team (leader, recorder, reporter, observer, resource person) and group movement discussion techniques.

GUIDELINES FOR FACULTY EVALUATORS IN HOME STUDY PROGRAMS

About the Course...

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The course consists of five learning modules which require interaction between the participants and a faculty evaluator--who provides personalized guidance. Each module consists of a narrative text, which developes the major topics, and readings, which relate to the concepts presented in the text. Together, these present the student with information. The self tests and exercises are used to assist participants in evaluating their command of the material.

As a Faculty Evaluator you will assist the program by appraising, via correspondence, the module exercises submitted by those home study participants assigned to you. The appraisal includes correcting mistakes, offering comments, and providing supplementary suggestions. One advantage of instruction by correspondence is that it is all instruction. The Home Study Office handles the administrative and clerical details.

Procedure for Evaluating Home Study Exercises:

Exercises from each module will be sent to you as soon as the Home Study

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GUIDELINES FOR FACULTY EVALUATORS....

Office receives them from the participants that have been assigned to you. Please review each one, add comments, appraise, then return to the Office within 10 days. The Office records your appraisal and returns the exercise to the participant.

There will be no grades as such in this course, but we ask that you summarize your opinion of each exercise as satisfactory or unsatisfactory--for the information and guidance of the participant and for our record keeping. Note this on the exercise as well as on the record form.

A record form will be attached to each module to be returned to the Office for bookkeeping purposes. Payment of your fee will be based on this form. It should have your name, the student's name, number of the module, the date, and your appraisal. Please also note the total time you spent in handling the paper. For your convenience we provide postage-paid, addressed envelopes for return of the exercises.

If for some reason you consider an exercise to be incomplete (as opposed to unsatisfactory) return to the Office with a note describing the omission. The student will be given an opportunity to resubmit the lesson after further preparation. We will also give the student an opportunity to rework the exercises that have been judged unsatisfactory. (You will be paid for the reading of resubmitted papers at the same rate.)

Each student may receive five Continuing Education Units (5 CEU)* upon completion of all exercises in the modules and a final examination--to the satisfaction of the Faculty Evaluator. Students will make the decision to take the final examination at the time of the next-to-last module when the Home Study Office will send an application for the examination.

Appraisal of Exercises:

- We ask you to do these things: correct mistakes...offer teaching comments...appraise the work...on all papers. Even if the exercise is of straight-A quality, note in some way the answers or thoughts that are correct. When something has been answered incorrectly, state why it is incorrect.

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* Are you familiar eith the CEU(Continuing Education Unit). Please see page 5 for an explanation.

GUIDELINES FOR FACULTY EVALUATORS....

- Suggest how a student can clarify his or her thinking. You may write this out or refer the student to a passage in the readings. Fill margins and between-the-lines with remarks if you wish.
- Attempt to motivate the participant through your comments.
- Return the corrected exercises as promptly as your own schedule will allow--within the 10-day period.

Ways to Personalize Your Contact with the Correspondence Student:

- A Personal Profile of each student will be sent to you. The Profile will introduce you to the student and give information to relate your comments to. Try to be as conversational as you would in a face-to-face conversation.
- Project yourself. Let your students feel your personality--this is more important in correspondence study than your authority. Give examples from your own experience, whenever you can, to illustrate a point or to explain a correction.
- Many students begin a home study course but drop out along the way. Your encouragement can make a difference in helping students to finish. Consider sending a personal follow-up letter urging the student to continue.

You Can Be an Active Teacher While Evaluating a Home Study Exercise:

- The actual teaching in a correspondence course takes place through communication. Even an "A" student feels neglected if there is no response.
- Through your comments you can share the teaching with the author of a course. Concentrate on the one student to whom you are "talking" now.
- "Comments" are not limited to praise and commendation nor to criticism. Consider providing supplementary references, ideas for further exploration, and summary notes at the end. Some other suggestions: balance strong points against weak points; compare the present lesson with previous work; apply course content to outside experience; ask challenging questions.

GUIDELINES FOR FACULTY EVALUATORS....

You Can Be an Active Teacher (continued)

- Points that can be praised by an evaluator: Organization of information and ideas; evidence of sound reasoning, originality, creativity--as long as it pertains to the problem; interpretation of information, rather than just information alone; technical correctness and accuracy.
- Try to let the student know of his or her progress on a continuous basis.

Do keep in mind: questions or comments that you raise may prompt the student to respond with his or her own personal views; a dialogue will thus ensue which will make the student's work more profitable and your involvement more interesting. This is home study learning at its best.

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GUIDELINES FOR FACULTY EVALUATORS....

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What is the benefit of the Continuing Education Unit?

The CEU supplies the student with a record of a continuing education activity. Under the CEU system the individual will have a permanent record, maintained by CLENE, that can be added to an employment file or cited in job resumes. The transcript will be sent to anyone the individual wishes, upon written request to the CLENE Office.

GUIDELINES FOR OFFICE PROCEDURES OF HOME STUDY PROGRAMS

These guidelines were developed during the pre-test of the prototype home study course: Motivation: A Vital Force in the Organization.* They were established to handle a volume of 69 students who were taking only one course. All correspondence from the student to the faculty evaluator, who appraised their exercises, was channeled through the Home Study Office to free the faculty evaluators from the procedural details so they could concentrate on their responsibility of evaluation of exercises. Every effort was made from the very beginning in the development of these guidelines to keep the administration of the course as simple as possible, with the paperwork kept at a minimum. This objective was accomplished. However, it is assumed that persons wishing to administer a larger volume of participants would have to adjust accordingly and ultimately progress to a more "sophisticated" system of record keeping.

The Home Study Office should be thought of as a miniature registrar's office at a small college, for the primary responsibilities are in matters of student records and financial records. As there are many fine studies on the financial matters,[1] these guidelines will concentrate largely on the administration of student records for a small-volume home study office.

STAFFING OF THE HOME STUDY OFFICE

Staff for a home study office with a volume of 100-150 students could easily be limited to one part-time administrative assistant, who has the major responsibility for the efficient and careful running of the office, and an administrator whose primary responsibility is to other concerns than the home study office, perhaps an entire continuing education program. The time that the administrator spends on the course largely depends on the aims of the course. If they are commercial, then the administrator's main concern might be the financial side of the home study office --

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* Through funding by the U. S. Office of Education Program for Library Research and Demonstration under Title II-B, Higher Education Act.

[1] Michael P. Lambert, "Basic Financial Analysis for Home Study Executives," (Washington, D.C.: National Home Study Council, 1977).

keeping accounts of printing and postal matters, dealing with jobbers on various projects and in creating public relations and marketing strategies strategies.[1] If the aims are broader than the purely financial side of home study, then the administrator would conceivably spend a greater share of his/her time with the evaluation process and the constant improvement of the home study process, including content of the course, effectiveness and efficiency of faculty evaluators, study motivation, and the entire educational theory behind home study.

The administrative assistant, on the other hand, although also interested in these matters, is primarily interested in the efficient running of the office and satisfying an often vocal student population. Since the administrative assistant is the one person that each of the students might have contact with, he/she is the most important link in the chain. Management by Objectives should be considered as important in this type of office procedure, since realistic goals can be established and readily met with some success. For instance: routines can be shortened so that students receive their information on appraised exercises in the shortest period of time. This person must be able to deal with complaints and explain unforeseen delays to the entire population. For this reason many correspondence schools do not list their telephone number on any of their correspondence and carry out all their communication through the mails. These schools find that if exercises are separated from other correspondence, and students are given standard forms on which to write their communications to the office, routine questions and complaints are handled as quickly as if they were handled by telephone.

USE OF THE TELEPHONE IN HOME STUDY

This procedure followed by many schools, of course limits the amount of time spent on the telephone by the administrative assistant, and frees him/her to do the largest part of the job, which is the routine mailing of home study modules and the routing of exercises from students to and from their advisors.

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[1] An excellent study on marketing of continuing education is: Samuel C. Dewald, The Role of Marketing in Continuing Higher Education and Community, Continuing Explorations: Studies in Continuing Education (University Park:: The Pennsylvania State University, 1974).

Several schools, however, find that a student "hot-line" is effective by which the student can contact the office by a toll-free line to ask questions about procedures and have problems with the course content relayed to his/her faculty evaluator. This would be an expensive proposition for the provider of the home study course. In conversations with home study course participants, it has been found that most of the group surveyed "felt that they would not feel comfortable about telephone conversations with the faculty evaluator."

During the pre-test of the U. S. Office of Education home study course, the telephone link to the student from the Project Office was only really made use of during the final days of the project, when definite responses were needed as to student's obligations and intentions of continuing with the course. During other times, the participants preferred to write short notes to the Project Office. Only rarely did they telephone, although the telephone number was given. The use of the telephone by the home study school should be carefully examined and evaluated against aims and objectives of the service provided to the students.

STUDENT RECORDS

Records for the students are largely created from the initial student registration. This form should contain only the data which will actually be used for each student. From this form, most of the data that is used daily in the Home Study Office is generated. The following pertinent data is usually included in most registration forms:

- Student's name
- Student's home address
- Student's home telephone number
- Student's work address
- Student's work telephone
- Date of enrollment
- Faculty evaluator's name and address (filled in later by Home Study Office)
- The address where the student wants his/her correspondence sent
- The telephone number the student prefers for home study communication

GUIDELINES FOR OFFICE PROCEUDRES....

Upon receipt of the registration form by the Home Study Office, a Cheshire card is typed using the address and telephone number the student prefers, either at work or at home. These Cheshire cards are primarily used to create labels; however, they might also be used to actually record the student's records in a single file. This could easily be done with a population of less than 100.

UPDATED, ACCURATE RECORDS ARE IMPORTANT!

It cannot be stressed enough that this is a very important step in the procedures, for if the data on a student record is incorrect, for all practical purposes, you lose that student from your course, since the mails will rarely forward something as large as a home study module, unless it is sent first class mail. Students should also be given several change of address cards for the purpose of keeping their home study records accurate. The loss of a single exercise in the mail may mean the loss of a student from the course due to lost motivation.

SPEED IN REPLYING TO REGISTRATION FORMS IS VITAL!

Time is next to accuracy in importance. If lessons are delayed through confusion with other correspondence, valuable time is lost. A separate postal box number should be designated on all materials coming from the Home Study Office. Special envelopes should be used to distinguish this mail from other mail coming into the Office.

COLOR CODE ALL MATERIAL USED IN HOME STUDY!

Color should be used whenever possible to further distinguish Home Study mail from other correspondence which may be coming into the Office. For instance:

- REGISTRATIONS (Grey)
- EXERCISES (Yellow) [Appendix A]
- EVALUATIONS (Blue)
- APPRAISAL SHEETS (Pink) [Appendices B and C]

GUIDELINES FOR OFFICE PROCEDURES

During the pre-test, records of the student population were kept in three major files:

- On Cheshire cards used for labeling and other purposes (see page 4)
- In an alphabetical file by student containing the student's completed APPRAISAL SHEETS (Appendices B and C)
- In the master file notebook of student records of the course (Appendix D)

Approximately one hour a day was spent logging in the Module Exercises (Appendix A) from 69 students and in returning appraised exercises from Faculty Evaluators to the students. Exhibit A shows the steps involved in these procedures:

EXHIBIT A

PROCEDURES FOR LOGGING IN EXERCISES FROM STUDENTS

- Check envelope to see if there are any notes or questions from students. Place them aside for appropriate action.
- When EXERCISES (Appendix A) are received from students log date received in the Home Study Office on the STUDENT RECORD SHEETS (Appendix D) under that student's name in column "r" for "received"
- Check the name of the Faculty Evaluator of the student on his/her Cheshire card
- Type an envelope to the Faculty Evaluator. (More than one EXERCISE can be sent to a Faculty Evaluator in each envelope. This should be encouraged as long as the EXERCISES arrive in the Office on the same day. An EXERCISE should not sit overnight in the Home Study Office, and if possible should be placed in the mail for the earliest delivery.
- Check the address to see if the Faculty Evaluator wishes to remain Anonymous to his/her students.[1] Attach the appropriate APPRAISAL SHEET (Appendix B for those who wish to remain anonymous and Appendix C for those who wish to be known to their students) to each of the student's EXERCISES.

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[1] Many home study schools publish a list of their Faculty without telling each student who his or her Faculty Evaluator is. In our government sponsored pre-test we used both methods depending on the Faculty Evaluator's preference. Both methods seemed to work equally well. The theory behind having the faculty member remain anonymous is that this procedure frees the faculty from being constantly contacted by the students. In our method, the Home Study Office forwarded all correspondence to and from the faculty and students. Two Faculty Evaluators even reported that they would have liked more communication and feedback from their students.

GUIDELINES FOR OFFICE PROCEDURES....

- Place Module evaluation (Appendix E) if attached to exercise in the notebook marked "Home Study Evaluations"
- Log date sent to Faculty Evaluator in column marked "sf" for "sent to faculty"
- Mail EXERCISE with stapled APPRAISAL SHEET and a POSTAGE PAID RETURN ENVELOPE in an envelope to the Faculty Evaluator.
- Mark any additional correspondence received with the EXERCISES on the RECORD SHEETS (Appendix D) under "Additional Notes."
- Stamp correspondence with the date and forward it for appropriate action.

EXHIBIT B

PROCEDURES FOR LOGGING IN MODULE EXERCISES FROM THE FACULTY EVALUATORS

- When EXERCISES are received from Faculty Evaluator, record the date received on the appropriate RECORD SHEET next to the student's name under the column marked "rf" for "received from faculty."
- Copy appraisal (i.e., s=satisfactory, u=unsatisfactory) from the APPRAISAL SHEET attached to the EXERCISE onto the record sheet next to the student's name under the colume "a" for "appraisal."
- Detach lower half of APPRAISAL SHEETS and place in the file box marked "APPRAISAL SHEETS."
- With the top of the APPRAISAL SHEET still attached to the EXERCISE, type the student's address (from the Cheshire cards) on to an envelope.
- Log date sent to student on RECORD SHEET next to student's name under column marked "ss" for "sent to student."
- Mail APPRAISAL SHEET and EXERCISE back to student.
- If the appraisal by the Faculty Evaluator is "unsatisfactory" the student is given one chance to correct the errors or omissions he/she has made. The student then mails the EXERCISE back to the office for a second appraisal by the Evaluator.

HANDLING OF OTHER CORRESPONDENCE BESIDES EXERCISES

Additional enclosures from the student or the faculty should be attended to promptly, if necessary with a telephone call. It is recommended by various home study professionals that a multiple copy communication sheet should be provided to the students, and another differently colored one to be used by the faculty, to cut down on the amount of formal correspondence the Home Study Office handles.

NEWSLETTERS AS A COMMUNICATIONS MEDIUM

Also suggested, but not experimented with, was the use of the newsletter as a means of form letter and communication throughout the program. This would provide information about home study methods in general, news about the various participants at the moment, and helpful ideas on making home study a vital continuing education experience for the student. It also creates contact among the participants by having personal quotes or queries from students. A home study school in Britain publishes a newsletter called "Home Study" especially for this purpose.

MAILING OF HOME STUDY MATERIALS

Packaging and color are important elements here. Cardboard wrapping is preferred if this can be afforded, however there were no complaints about damaged materials mailed in standard legal-sized envelopes during our pre-test.

A recent study showed that the U. S. Post Office delivers mail faster when diamond shapes are superimposed in green around the boarders of the home study materials when they are mailed.

FIRST CLASS MAIL IS A MUST FOR THE INITIAL MAILINGS!

The use of First Class Mail is very important, at least for the initial mailing to the students recently registered. Also of the greatest help is a postage paid envelope for the student's first exercises. This tends to make the students more prompt when returning Module Exercises. After the first Modules, envelopes should be provided with each exercise, but they need not be postage-paid envelopes.

GUIDELINES FOR OFFICE PROCEDURES....

EVALUATION OF HOME STUDY

A decision should be made about the type and frequency of evaluation. Evaluation should be an integral part of the Home Study process. Whether it is the evaluation of the content and concept of the course itself by the faculty and students for use in future revisions or for future marketing information, or the evaluation of the efficiency and helpfulness of the Home Study Office Staff and Faculty Evaluators. Either way, data requested on the evaluation forms used need only be data that will actually be of help in revising the content or concept of the course and improving the home study process. Needless data should be avoided. It is recommended that data collected be frequently discussed with the appropriate parties and decisions made about actions to be taken. (Appendix E and Appendix F)

FACULTY EVALUATORS

It is recommended that Faculty Evaluators should be used in the home study mode of education who are willing to give of themselves through correspondence. They should be made aware that this kind of teaching is extremely different from classroom teaching and that different skills and competencies are needed.

Only those Faculty Evaluators who efficiently handle the exercises forwarded to them should be utilized by the Home Study Office. Others should not be sent further exercises and perhaps entirely dropped from their contract should they be completely remiss and not fulfill their responsibilities to the course. Depending on the nature of the exercises and exams to be graded, it is estimated that a Faculty Evaluator should require approximately 15 minutes per exercise and 30 minutes on each final exam.

Experience indicated that Faculty Evaluators should be paid by the number of exercises or examinations they appraise, and not by a fixed salary. This makes bookkeeping more difficult, but makes the process of dropping a slow Faculty Evaluator easier. It is recommended that records should be kept by the quarter, and a check forwarded to the Evaluators for the amount of exams and exercises he/she has appraised during the previous quarter. Separate accounts should be kept for each Faculty Evaluator, so that quarterly accounting is kept simple.

FINAL EXAMINATIONS

A decision must be made whether the final examination should be proctored. If academic credit is to be given or if multiple choice exercises are used extensively, then proctoring is recommended. In this case, the examination should be sent to the proctor of each student after the student has submitted a name of a librarian, teacher, or other professional the student wishes to act as his proctor. If the exam is not proctored, it may be sent directly to the student. Many home study schools change their examinations frequently to avoid the exchange of answers by students and to incorporate updated questions. Usually Faculty Evaluators are paid more for the appraisal of an examination than for the appraisal of a single exercise.

The student usually has the option of taking the final examination over, perhaps using another exam in order to pass with a satisfactory appraisal by the Faculty Evaluator.

A FINAL WORD...

All this is to say that this is a very exciting experience being part of so many people's education. It has been found that the Home Study Office Staff's personal names are important in home study communication, to students and faculty. Students and faculty like to know there are real people out there who are interested in them personally. Just because the student is not in the classroom does not mean he/she does not want personal attention. In fact, we have found that many students feel they get more personal attention to their specific educational needs in Home Study than in regular classroom attendance.

The Home Study Office is an essential part of this personal attention.

* * * * * * * * *

The suggested guidelines given here are intended for the use of any group, organization or association interested in using home study in the continuing education of their members or staff. They are particularly applicable for a student population of less than 100.

APPENDIX A

Name: ____________________

EXERCISE I-1

After completing this exercise, be sure to make a copy for your records. Then place the original in an envelope, and mail it for review by your faculty evaluator to:

Motivation: A Vital Force in the Organization
CLENE Home Study Project
P.O. Box 1228
620 Michigan Avenue, N.E.
Washington, D.C. 20064

Describe briefly, in the format contained in Self Test I-1, two (2) similar incidents which have occured in your organization, and in which you were in some way involved, during the last few weeks. Place each of these incidents in the context of Kast and Rosenzweig's organizational systems model. For example, did it relate to the goal and value subsystem, the psychosocial subsystem, etc.? List as many of the subsystems as you feel are appropriate, and explain the relationship. (If you need additional space, continue your answers on an additional sheet of paper.)

Incident 1:

Subsystem(s) Represented:

Incident 2:

Subsystem(s) Represented:

APPENDIX B

STUDENT'S COPY

ANONYMOUS FACULTY EVALUATOR

APPRAISAL SHEET

MOTIVATION: A VITAL FORCE IN THE ORGANIZATION
CLENE Home Study Project

_______________________ Module # ____ Exercise # ______
Name of Student

_______________________ APPRAISAL: ☐ Satisfactory
Faculty Evaluator's Name ☐ Unsatisfactory

_______________________ _______________________
Faculty Evaluator's Signature Today's Date

PROJECT OFFICE COPY

APPRAISAL SHEET

MOTIVATION: A VITAL FORCE IN THE ORGANIZATION
CLENE Home Study Project

_______________________ Module # ____ Exercise# ______
Name of Student

____
Date you received exercise from Project Office

APPRAISAL:

☐ Satisfactory
+☐ Unsatisfactory

____
Approximate time spent in appraising exercise

____
Your name

_______________________ _______________________
Your signature Today's date

*INSTRUCTIONS FOR FACULTY EVALUATOR: Please fill out both parts of this form and return it with the exercise(s) to the CLENE o Project Office in the enclosed envelope. Thank you.

APPENDIX C

STUDENT'S COPY

APPRAISAL SHEET FOR FACULTY EVALUATOR KNOWN TO STUDENTS

MOTIVATION: A VITAL FORCE IN THE ORGANIZATION
CLENE Home Study Project

_______________________________ Module #_____ Exercise #_____
Name of Student

APPRAISAL: ☐ Satisfactory

☐ Unsatisfactory

____
Today's Date

PROJECT OFFICE COPY

APPRAISAL SHEET

MOTIVATION: A VITAL FORCE IN THE ORGANIZATION
CLENE Home Study Project

_______________________________ Module #_____ Exercise #_____
Name of Student

APPRAISAL:

____
Date you received exercise from Project Office

☐ Satisfactory

☐ Unsatisfactory

____
Approximate time spent in appraising exercise

____
Your name

____
Your signature

____
Today's Date

INSTRUCTIONS TO FACULTY EVALUATOR: Please fill out both parts of this form and return it with the exercise(s) to the CLENE Project Office in the enclosed envelope. Thank you.

APPENDIX D

STUDENT RECORD
MOTIVATION HOME STUDY COURSE
MODULE________ EXERICSE________
PAGE________

m = Module and reading sent to student
r = Received-CLENE Office; sf = sent faculty; rf = received from faculty; ss = sent to student; A = APPRAISAL-
(s = satisfactory, u = unsatisfactory)

	Pro-file								
Name	r	sf	m	r	sf	rf	ss	A	ADDITIONAL NOTES

Name: ______________________________
(optional)

APPENDIX E

EVALUATION OF MODULE I

Now that you have completed this module, we would appreciate having your reactions and critical comments. Please answer the questions below and feel free to make additional comments. If more space is needed, continue on the back of this page. Please mail to:

Motivation: A Vital Force in the Organization
CLENE Home Study Project
620 Michigan Avenue, N.E.
Washington, DC 20064

1. All things considered, how would you rate this module?

1	2	3	4
excellent	good	mediocre	poor

2. Were the directions and the instructions included throughout the module sufficient?

1	2	3	4
ample	sufficient	minimally sufficient	insufficient

3. Was the material presented in a logical form?

1	2	3	4
very logical	reasonably logical	minimally logical	illogical

4. Was there a sufficient variety of activities?

1	2	3	4
ample variety	sufficient	minimally sufficient	insufficient

5. Did the module contain the right amount of material?

1	2	3	4
too much	just right	about right	too little

6. What was the best thing about this module?

7. What was the worst thing about this module?

Additional Comments:

APPENDIX F

FEEDBACK

CLENE HOME STUDY PROJECT

MOTIVATION: A VITAL FORCE IN THE ORGANIZATION

1. MY OVERALL REACTION TO THE CONCEPT AND CONTENT OF THE COURSE IS:

2. WHEN THE COURSE IS REVISED OR UPDATED, I WOULD RECOMMEND:

3. HOW DO YOU EVALUATE THE IMPORTANCE OF HOME STUDY TO THE CONTINUING EDUCATION NEEDS OF THE LIBRARY, MEDIA, AND INFORMATION SCIENCE COMMUNITY?

Date ____________________

Name ____________________

Title ____________________

Address ____________________

City ________ State ________ Zip ________

PLEASE RETURN THIS FORM TO:
CLENE HOME STUDY PROJECT
620 Michigan Avenue, N.E.
Washington, D.C. 20064

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again, thanks!

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